XI Preparing Claim Schedules

The accurate and timely payment of vendors is an important function of any accounting function. The State of California uses a variety of vendor payment methods. One method is through claim schedules submitted to the SCO for payment. CALSTARS has two types of claim schedules, automated and manual. Automated claim schedules are more commonly used. Manual claim schedules may be used when time does not allow for the automated scheduling process.

All claim schedule batches (manual and automated) that post to CALSTARS are processed through the Claim Schedule Subsystem. The Claim Schedule Subsystem summarizes the disbursement/credit memo transactions in a batch and generates an automated Claims Filed (GLA 3020) transaction(s). However, only automated claim schedule batches are used to create and print claim schedule "face sheets" and remittance advices using the agency's printer.

This chapter describes the claim schedule process and how CALSTARS supports that function. The emphasis is on automated claim schedules; however, the procedures for both types of claim schedules are described.

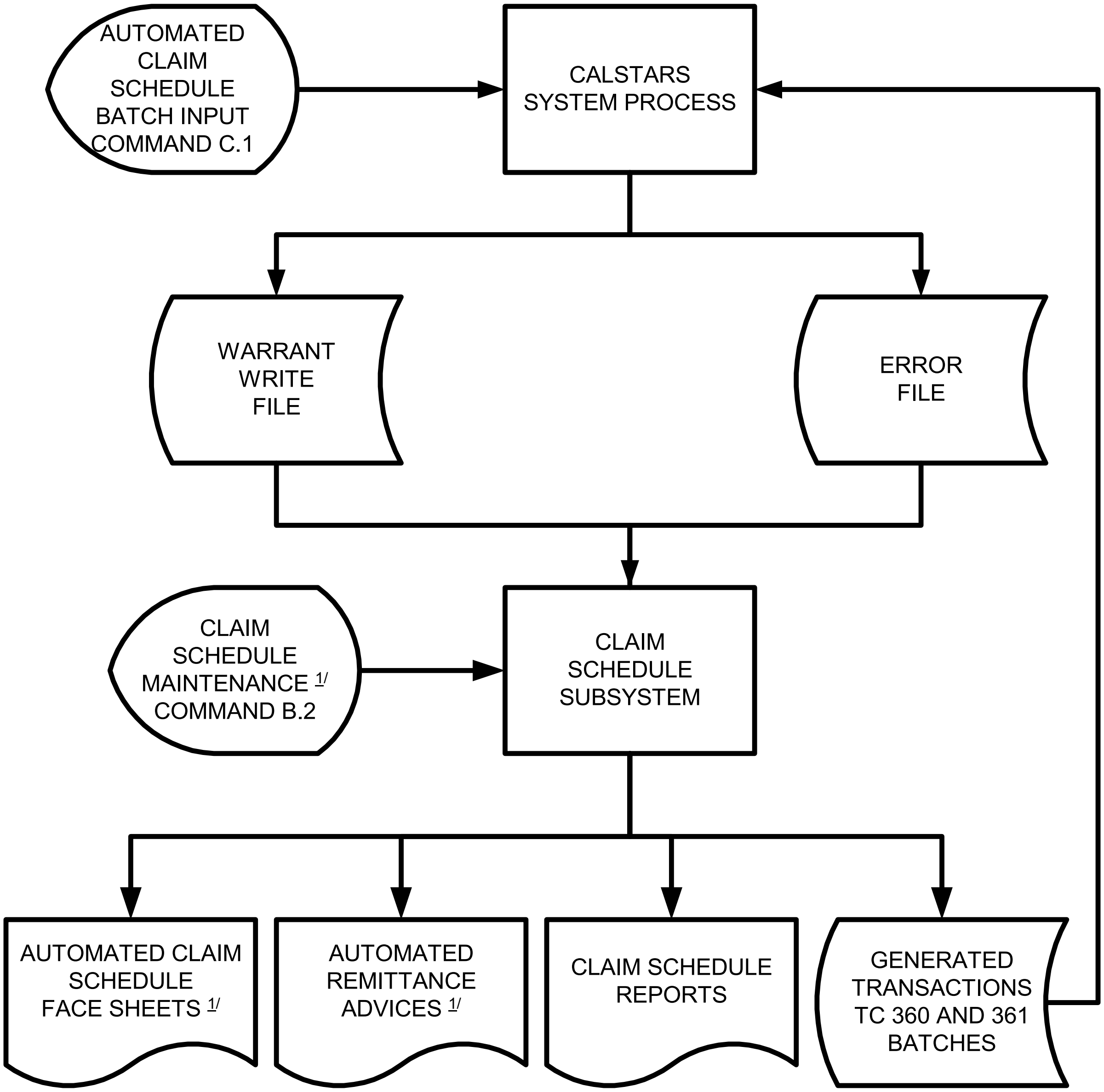
CLAIM SCHEDULE PROCESS OVERVIEW

Claim schedule transactions are entered into CALSTARS in the same manner as other accounting transaction batches, but include a Claim Schedule Number on the Batch Header Slip. All claim schedule batch transactions that pass system editing are posted to the Warrant Write File (WW). This file is used by the Claim Schedule Subsystem to create automated Claims Filed transactions. If any claim schedule transaction fails system editing:

- ✪ The transaction(s) goes to the Error File,
- ✪ The Claim Schedule Subsystem will not create an automated Claims Filed transaction, and
- ✪ An automated claim schedule cannot be printed.

When all transactions in the batch pass system editing, the Claims Filed transaction can be created and the automated claim schedule will be available for print, if applicable. The agency then uses Claim Schedule Subsystem commands to control the printing of automated claim schedule batches. Exhibit XI-1 on page 2 shows the CALSTARS claim schedule process.

EXHIBIT XI-1
CLAIM SCHEDULE SUBSYSTEM PROCESSING


AUTOMATED CLAIM SCHEDULE BATCH INPUT COMMAND C.1
CALSTARS SYSTEM PROCESS
WARRANT WRITE FILE
ERROR FILE
CLAIM SCHEDULE MAINTENANCE 1/ COMMAND B.2
CLAIM SCHEDULE SUBSYSTEM
AUTOMATED CLAIM SCHEDULE FACE SHEETS 1/
AUTOMATED REMITTANCE ADVICES 1/
CLAIM SCHEDULE REPORTS
GENERATED TRANSACTIONS TC 360 AND 361 BATCHES

[1/] This item applies only to batches of transactions with TCs that produce automated claim schedules.

The following sections describe, in detail, claim schedule preparation, printing of claim schedules and remittance advices, claim correction methods, reportable payment adjustments, posting of Claims Filed, reconciliation of claim schedules, claim schedule reports, and coding of the claim schedule and remittance advice.

CLAIM SCHEDULE PREPARATION STEPS

The steps described below are generally used by most agencies, however, some variations may exist.

Step 1. Determine the content of the claim schedule

To ensure compliance with SAM, Section 8422, the invoices contained in claim schedules must be separated as follows:

Separate invoices by type of disbursement (ORF reimbursement, discounts taken, immediate pay demanded, contracts, etc., as needed)

Separate invoices by type of output (Manual or automated schedule)

The transaction codes used to create automated or manual claim schedule batches are unique for each type. As a result, mixing automated and manual transaction codes (TCs) in the same batch is not allowed.

Agencies may choose to use a manual claim schedule under the following circumstances:

- ✪ Immediate payment demands or discount timing may require same-day batching and submission to the SCO;
- ✪ Reimbursement of the office revolving fund (ORF) may involve bills for vendor services that are reportable payments to IRS and FTB. The actual Vendor Number is used to avoid using TC R01 or R02. See Chapter XII, Reportable Payments, for more information on those transactions and requirements; or
- ✪ There is a small volume of claim schedule batches so automated claim schedules would not be efficient.

Step 2. Assemble vendor invoices/payment documents into a batch

Several rules must be followed when assembling a claim schedule batch for entry. See Chapter VIII, Preparing Transaction Entry Documents, for general procedures on preparing a batch. Claim schedule batches have the following special requirements:

- ✪ Must contain only claim schedule transactions.

- Must use a unique 7-digit alpha-numeric Claim Schedule Number. If less than seven characters are used, the system right-justifies and left zero-fills those spaces. Blanks (space bar) are not allowed between digits or as leading spaces.

  NOTE: Use of special characters may prevent the SCO CD 102 document from correctly matching the CALSTARS Claims Filed document, or complicate the SCO/CALSTARS account reconciliations.

- Must contain transactions totaling no more than $99,999,999.99. If exceeded, the batch will post to the Error File.

- Must contain transactions with the same appropriation information (i.e., organization, fund, reference, enactment and funding fiscal year). Otherwise, the system will split the schedule, create multiple face sheets, and automatically assign an 8th digit (i.e., A, B, C, etc.) rather than a zero.

- Must contain a positive dollar amount for any vendor net of all discounts and credit memos. A net zero or minus dollar vendor payment prevents an automated claim schedule from printing until a correction is made to change the transaction amount(s) or delete a transaction(s).

- Must contain transactions for no more than 12 vendors on one face sheet. A vendor is defined as one Vendor ID (one VE Table record or name using one address). If more than 12 vendors are contained in the batch, the system will automatically assign an 8th digit (i.e., A, B, C, etc.) rather than zero and create multiple face sheets. Multiple invoices for the same vendor must be entered consecutively. If the transactions are not entered consecutively, the vendor name will appear on the face sheet more than once and be treated as multiple vendors. This could cause the batch to contain over 12 vendors.

- Must contain no more than 250 transactions in a claim schedule batch.

- Must contain either expenditure or refund transactions, but not both. If the transactions are mixed, the system will automatically split the TC 360's using the same Document Number but incrementing the Document Number Suffix (i.e., 00, 01, etc.).

- For manual claim schedules, avoid including more than one accounting distribution below the "APPROPRIATION" section of the Claim Schedule (Std. 218) "face sheet", illustrated in Exhibit XI-15, shown on page 50. Although up to ten distributions are allowed by the SCO, using more than one distribution may cause problems with the automated Claims Filed (CD 102) process.

- Up to 6 invoices per page and up to 10 pages per vendor may appear on the Remittance Advice (Std. 404C), Exhibit XI-16, shown on page 51.

- ✪ Must always use a manual claim schedule transaction to reverse any existing (manual or automated) claim schedule transaction.

Additional batching rules may also be required by the SCO.

Step 3. Enter the batch(es) in CALSTARS

The following chart gives a description of the transaction codes typically used when preparing an expenditure claim schedule:

TC	General Ledger Posting	Explanation
231	**Dr 9000 Expenditures** **Cr 3021 Claims In Process**	**To generate an automated claim schedule and remittance advice(s) for expenditures not previously encumbered.**
232	**Dr 9000 Expenditures** **Cr 3021 Claims In Process** **Dr 6155 Encumbrances - Offset** **Cr 6150 Encumbrances**	**To generate an automated claim schedule and remittance advice(s) for expenditures previously encumbered. Use the F4 key for document retrieval.**
240	**Dr 9000 Expenditures** **Cr 3021 Claims In Process**	**To record a manual claim schedule for expenditures not previously encumbered.**
243	**Dr 9000 Expenditures** **Cr 3021 Claims In Process** **Dr 6155 Encumbrances - Offset** **Cr 6150 Encumbrances**	**To record a manual claim schedule for expenditures previously encumbered. Use the F4 key for document retrieval.**
471	**Dr 3021 Claims In Process** **Cr 9000 Expenditures**	**To record a credit memo or discount within an automated claim schedule.**
470	**Dr 3021 Claims In Process** **Cr 9000 Expenditures**	**To record a credit memo or discount within a manual claim schedule.**

The following chart gives a description of the transaction codes typically used when preparing a revenue or reimbursement claim schedule:

TC	General Ledger Posting	Explanation
271	**Dr 8000 Revenue** **Cr 3021 Claims In Process**	**To generate an automated claim schedule and remittance advice(s) to disburse a revenue refund.**
270	**Dr 8000 Revenue** **Cr 3021 Claims In Process**	**To record a manual claim schedule to disburse a revenue refund.**
273	**Dr 8100 Reimbursements** **Cr 3021 Claims In Process**	**To generate an automated no warrant claim schedule for a refund from reimbursements.**
239	**Dr 8100 Reimbursements** **Cr 3021 Claims In Process**	**To record a manual no warrant claim schedule to disburse a refund from reimbursements.**

See Chapter IX, Online Financial Transaction Entry, for further detail on general procedures on entering a batch of transactions.

The claim schedule subsystem summarizes all claim schedule transactions entered in a batch and creates one summary transaction by claim schedule number. This transaction posts as follows:

TC 360 Posting of Claims Filed

Dr 3021 Claims in Process
Cr 3020 Claims Filed

If a fatal error occurs for any claim schedule transaction during the nightly system update process, the Claims Filed transaction will not generate. If this affects an automated schedule, the schedule will not become available to print even if a print command was entered. Transactions containing fatal errors must be corrected or deleted to allow the Claim Schedule Subsystem to complete its process. See Volume 4, Error Correction, for instructions on transaction error correction.

The timing of this TC 360 transaction depends on several factors. The following chart describes when the TC 360 is generated and where it posts in the system.

Type of Claim Schedule	**Claim Schedule Subsystem**	**IEUP**
Manual	1st nightly system processing after claim schedule batch is released **and** all transactions have processed successfully (no errors on error file)	Next nightly system processing if TC 360's were successfully generated during the previous night.
Example: Claim Schedule CS00001 entered and released on 9/5.	TC 360 generated on 9/5	TC 360 posted on 9/6
Automated	1st nightly system processing after claim schedule batch is released, all transactions have processed successfully (no errors on error file) **and** Print Date is accepted for processing.	Next nightly system processing if TC 360's were successfully generated during the previous night.
Example: Claim Schedule CS00002 entered and released on 9/5. Print Date accepted for processing on 9/6.	TC 360 generated on 9/6.	TC 360 posted on 9/7.

SPECIAL CONSIDERATIONS

The following special considerations should be reviewed prior to entering a claim schedule batch in CALSTARS:

Identification Of Payment Authorization

The State Controller's Office requires that disbursements authorized by a contract, master service agreement, purchase order, or similar document are identified on the claim schedule face sheet. To meet this requirement, enter the contract number or appropriate source of payment authorization in the current document field. Information entered in the current document field in an automated claim schedule batch is printed on the claim schedule face sheet to the left of the payee.

Control the Printing Availability (Due Date)

Entering a Due Date on any transaction within an automated claim schedule batch will prevent the entire batch from printing until the Due Date. This option may be used to process invoices that are due on a specific date (e.g., a rent claim schedule batch may be entered and will post to the system at the beginning of the month, but the claim schedule will not print until the due date specified on the transaction).

NOTE: When using this option, ***all*** transactions in the batch are held and the schedule will not print until a **Print Date** equal to or greater than the transaction **Due Date** is used. Therefore, be careful to exclude invoices from the batch that should be paid promptly.

Payee Data Record (Standard 204 Form)

A Payee Data Record (Std. 204 Form) is required from all non-governmental entities doing business with the State of California. The Standard 204 Form must be received prior to disbursing funds to a vendor, whether through the claim schedule or revolving fund process. The information on the Payee Data Record is needed to establish a vendor number in the Vendor Edit Table. The information entered in the Vendor Edit Table is used to determine whether payments made to the vendor are reported to the Internal Revenue Service and the Franchise Tax Board. For further details on reportable payments, refer to Volume I, Chapter XII.

Subject to Use Tax Report (W04)

The W04-Subject to Use Tax Report, shown in Exhibit XI-13 on page 44, is a listing of payments subject to use tax. Entering an Indicator of **9** in the RPI field causes the transaction to post to the W04 report. If there are no payments subject to use tax for the current day's automated claim schedules, the report is not printed.

Totals are provided by vendor within claim schedule, batch and agency. The Subject to Use Tax Report is a daily report; it does not contain cumulative-to-date information. It is important to file this report. The W04 reports may be used for the annual calculation and payment of Use Tax to the Board of Equalization.

Late Payment Interest Penalties Shown On The W07 Report

Late payment penalties are shown in the daily W07 Report, Amounts Paid Subject To Late Payment Interest Penalties (Exhibit XI-14 on page 45). Using Object Code **545** or keying an Indicator of **8** in the RPI field will cause the transaction to post to the W07 report. If there are no interest penalties paid on the current day's claim schedules, the report is not printed for that day.

Totals are provided by vendor within claim schedule, batch and agency. Since the Amounts Paid Subject to Late Payment Interest Penalities Report is a daily report; it does not contain cumulative-to-date information. It is important to file this report and retain it as long as is necessary.

Remittance Advice Messages/D54 Descriptor Table

Any information entered in the Invoice field on an Automated Claim Schedule transaction will automatically print on the Remittance Advice. However, only 14 characters are available in the Invoice field. Sometimes agencies need to include a message that is more than 14 characters.

Agencies have the option of letting the system print a specific message on the remittance advice by entering a hyphen (-) and a 3-digit alphanumeric code (pre-assigned in the D54 Descriptor Table) in the first four positions of the invoice field. If a message is printed, the first four positions of the invoice number are printed as asterisks and the remaining ten positions contain the invoice number, if entered. If the same message is entered for multiple invoices for the same vendor, the message is printed once after the last invoice when the invoices are entered consecutively. If the invoices have the same message but are not entered consecutively, the message follows each occurrence.

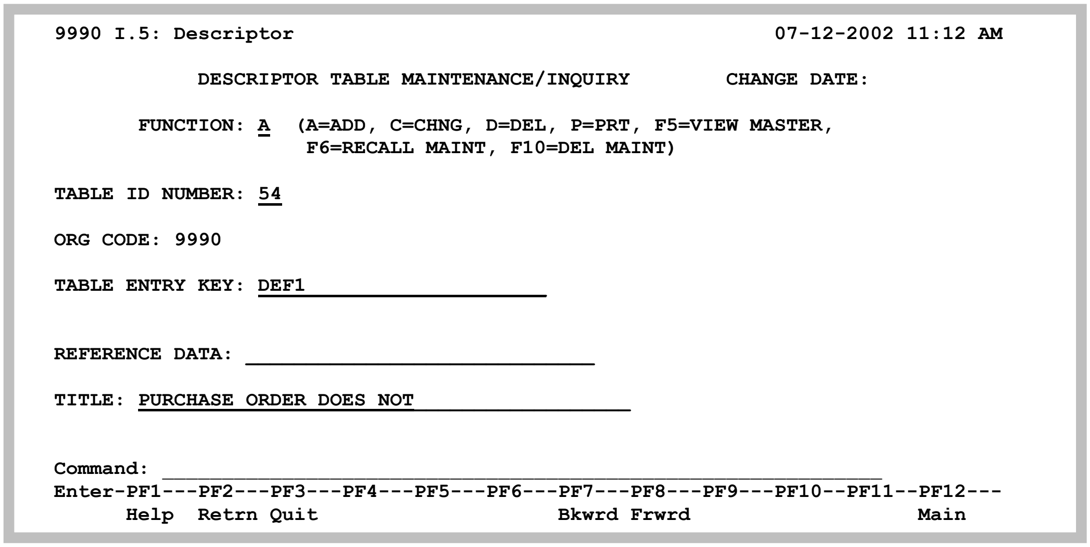
The D54 Descriptor Table allows up to 270 characters per message. It requires some advance planning to determine the types of messages wanted and to establish the messages in the D54 table, but once the messages are entered, they remain in the D54 table until they are deleted.

The descriptor table entries involve assigning a three-digit alphanumeric code and a one-digit number. The alphanumeric code identifies the message. The numeric field identifies the line number of the message. Each message can have up to nine lines, and each line can have up to 30 characters.

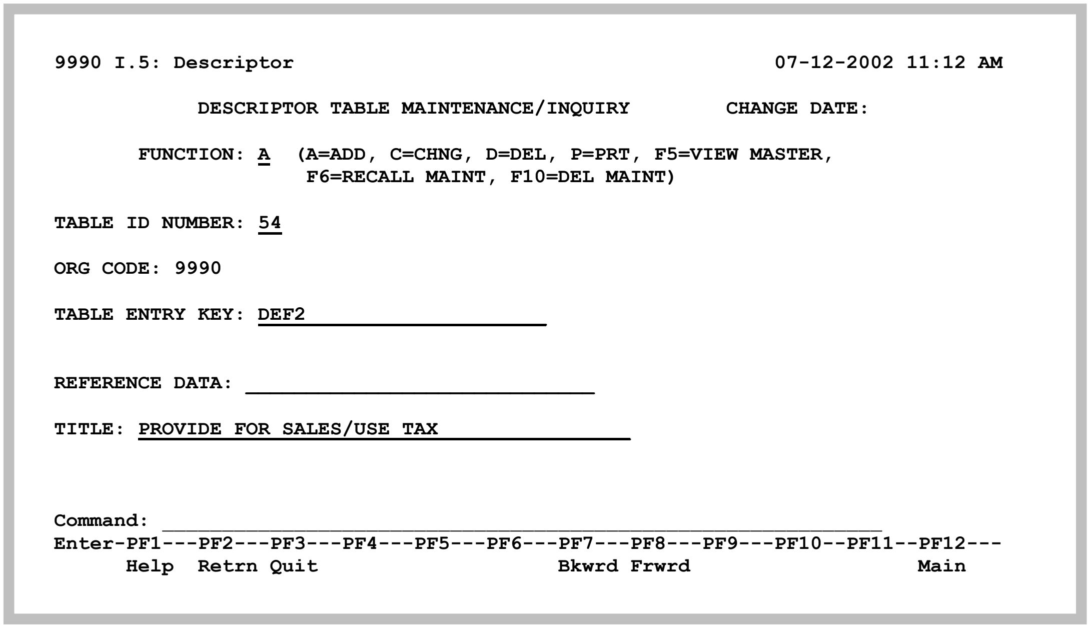
The table below displays a sample of a two-line message that would appear on the remittance advice if entered in the D54 Descriptor Table.

MESSAGE	LINE NUMBER	TABLE ENTRY KEY
PURCHASE ORDER DOES NOT	1	DEF1
PROVIDE FOR SALES/USE TAX	2	DEF2

The screens below display the descriptor table entry prior to pressing enter.

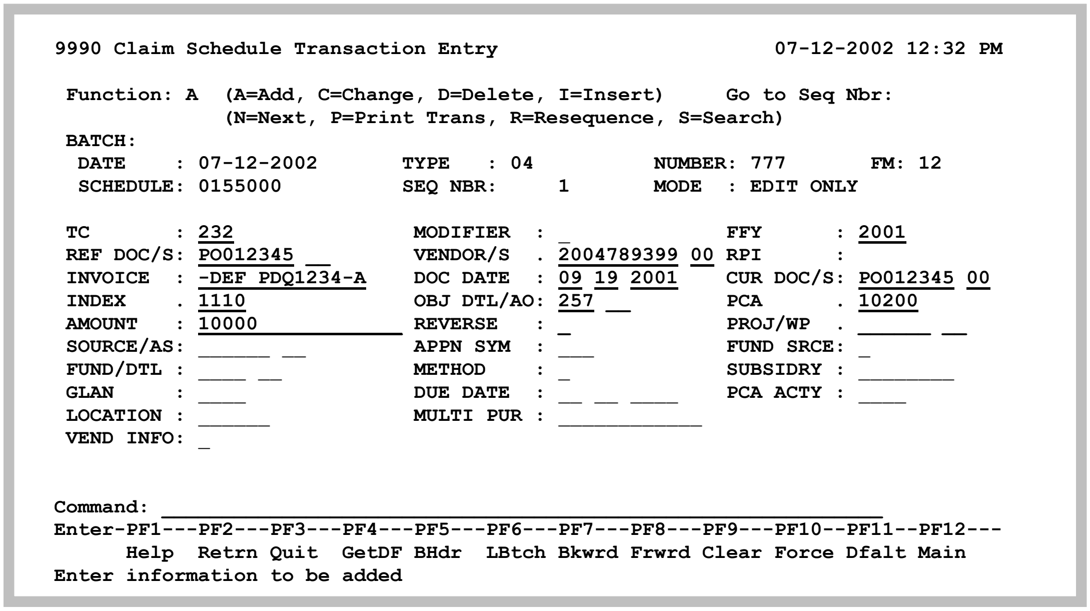


```
9990 I.5: Descriptor                                    07-12-2002 11:12 AM

            DESCRIPTOR TABLE MAINTENANCE/INQUIRY        CHANGE DATE:

       FUNCTION: A  (A=ADD, C=CHNG, D=DEL, P=PRT, F5=VIEW MASTER,
                     F6=RECALL MAINT, F10=DEL MAINT)

TABLE ID NUMBER: 54

ORG CODE: 9990

TABLE ENTRY KEY: DEF1


REFERENCE DATA:

TITLE: PURCHASE ORDER DOES NOT


Command:
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd                  Main
```



```
9990 I.5: Descriptor                                    07-12-2002 11:12 AM

            DESCRIPTOR TABLE MAINTENANCE/INQUIRY        CHANGE DATE:

       FUNCTION: A  (A=ADD, C=CHNG, D=DEL, P=PRT, F5=VIEW MASTER,
                     F6=RECALL MAINT, F10=DEL MAINT)

TABLE ID NUMBER: 54

ORG CODE: 9990

TABLE ENTRY KEY: DEF2


REFERENCE DATA:

TITLE: PROVIDE FOR SALES/USE TAX



Command:
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd                  Main
```

When a particular message is needed on a Remittance Advice, the alphanumeric code preceded by a dash (-) is entered in the first four positions of the invoice field. Refer to the following example of the Claim Schedule Transaction Entry screen:

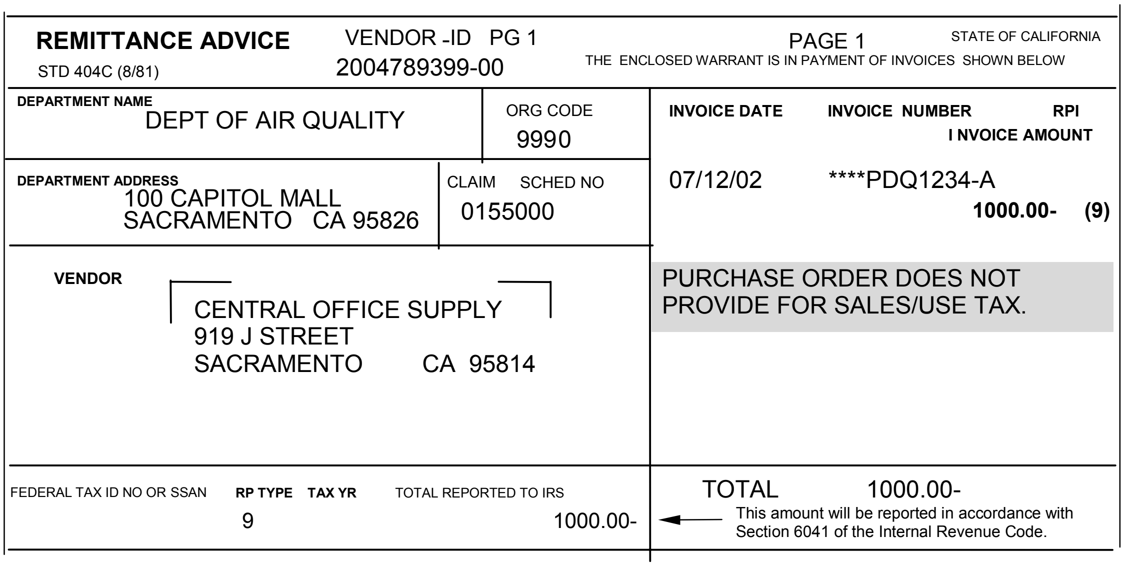


```
9990 Claim Schedule Transaction Entry                       07-12-2002 12:32 PM

 Function: A  (A=Add, C=Change, D=Delete, I=Insert)     Go to Seq Nbr:
              (N=Next, P=Print Trans, R=Resequence, S=Search)
 BATCH:
  DATE    : 07-12-2002       TYPE   : 04          NUMBER: 777       FM: 12
  SCHEDULE: 0155000          SEQ NBR:     1       MODE  : EDIT ONLY

 TC       : 232               MODIFIER  : _             FFY      : 2001
 REF DOC/S: PO012345 __       VENDOR/S  . 2004789399 00 RPI      :
 INVOICE  : -DEF PDQ1234-A    DOC DATE  : 09 19 2001    CUR DOC/S: PO012345 00
 INDEX    . 1110              OBJ DTL/AO: 257 __        PCA      . 10200
 AMOUNT   : 10000             REVERSE   : _             PROJ/WP  . ______ __
 SOURCE/AS: ______ __         APPN SYM  : ___           FUND SRCE: _
 FUND/DTL : ____ __           METHOD    : _             SUBSIDRY : ________
 GLAN     : ____              DUE DATE  : __ __ ____    PCA ACTY : ____
 LOCATION : ______            MULTI PUR : ____________
 VEND INFO: _


Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit  GetDF BHdr  LBtch Bkwrd Frwrd Clear Force Dfalt Main
Enter information to be added
```

Below are some examples of messages that may be useful to your agency:

ALPHANUMERIC CODE	**MESSAGE**
-ABC	UNIT PRICE HAS BEEN CORRECTED TO AGREE WITH THE PURCHASE ORDER OR CONTRACT TERMS
-DEF	PURCHASE ORDER DOES NOT PROVIDE FOR SALES/USE TAX
-FGH	PURCHASE ORDER DOES NOT PROVIDE FOR PAYMENT OF TRANSPORTATION COSTS
-IJK	PREPAID SHIPPING CHARGES HAVE BEEN DEDUCTED BECAUSE NO FREIGHT OR EXPRESS BILLS WERE ATTACHED. FREIGHT CHARGES OF 50.00 OR MORE ON AN INVOICE REQUIRES A FREIGHT BILL TO BE SUBMITTED WITH THE INVOICE.
-PQR	ERROR IN MATHEMATICAL COMPUTATION OF INVOICE
-RST	PAID AGAINST THE BALANCE OF YOUR CONTRACT
-TUV	AUTHORIZED DISCOUNT HAS BEEN TAKEN
-VWX	INVOICE WAS SPLIT BECAUSE TWO FISCAL YEARS INVOLVED

Below is an example of a remittance advice with a message from the D54 Table.



REMITTANCE ADVICE
STD 404C (8/81)
VENDOR -ID PG 1
2004789399-00
PAGE 1
STATE OF CALIFORNIA
THE ENCLOSED WARRANT IS IN PAYMENT OF INVOICES SHOWN BELOW

DEPARTMENT NAME
DEPT OF AIR QUALITY
ORG CODE
9990

DEPARTMENT ADDRESS
100 CAPITOL MALL
SACRAMENTO CA 95826
CLAIM SCHED NO
0155000

VENDOR
CENTRAL OFFICE SUPPLY
919 J STREET
SACRAMENTO CA 95814

INVOICE DATE	**INVOICE NUMBER**	**I NVOICE AMOUNT**	**RPI**
07/12/02	****PDQ1234-A	**1000.00-**	**(9)**

PURCHASE ORDER DOES NOT
PROVIDE FOR SALES/USE TAX.

FEDERAL TAX ID NO OR SSAN	**RP TYPE**	**TAX YR**	TOTAL REPORTED TO IRS
	9		1000.00-

TOTAL 1000.00-
This amount will be reported in accordance with Section 6041 of the Internal Revenue Code.

PRODUCTION OF MANUAL CLAIM SCHEDULES AND REMITTANCE ADVICES

When using the specific transaction codes and instructions for manual claims described in Step **3** of *Claim Schedule Preparation Steps* section, the claim schedule and remittance forms must be typed and are not printed on the agency printer.

Manual claim schedules and remittance advice forms may be typed at any time. However, it is recommended that they are typed on the same day the transactions are entered in CALSTARS. This will assure that transactions are entered correctly, thus reducing the transmittal of claim schedules containing errors to the SCO. Refer to the Coding The *Claim Schedule (Std. 218) And Remittance Advice (Std. 404)* section on page 53 for detailed instructions.

PRODUCTION OF AUTOMATED CLAIM SCHEDULES AND REMITTANCE ADVICES

When using the specific transaction codes and instructions for automated claims described in Step **3** of the *Claim Schedule Preparation Steps* section, automated claim schedule batches without fatal errors are available to print. The following section describes how to control the printing of automated claim schedules and remittance advices using the Claim Schedule File Maintenance Transactions screen (Command B.2).

Claim Schedule File Maintenance (Command B.2)

The Enter Claim Schedule File Maintenance Transactions screen (Command **B.2**) controls the printing of automated claim schedules. A table describing the functions and fields of the Claim Schedule Maintenance screen is displayed in Exhibit XI-2 beginning on page 16. Use the following instructions for entering maintenance transactions.

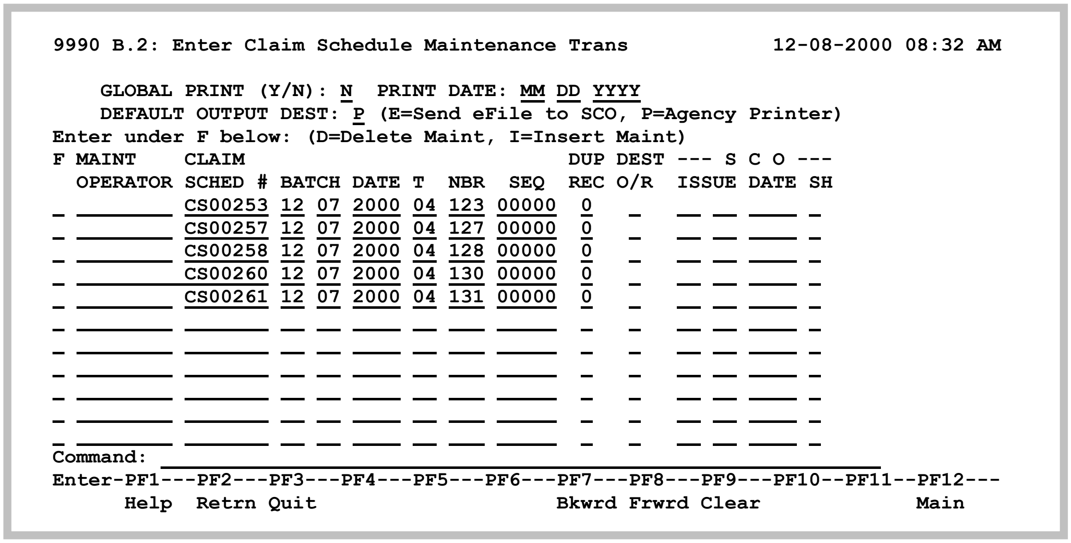
Change the **Global Print** Indicator to Y (yes) to print claim schedules. The Global Print indicator is normally set to **N** (No) and must be changed to **Y** whenever an agency wants to release claim schedules for print the following day or a later day as specified.

Enter a **Print Date.** This date is used to select claim schedules for printing and is required when the Global Print indicator is set to **Y**. Only claim schedules with a batch date or due date equal to or earlier than the entered print date will print on the date specified. Claim schedules with a batch date or due date later than the print date will not print at this time. A future print date may be used if needed.

The Default Output Destination field indicator is currently set to **P** for all agencies. Option **E** is not available at this time.

Agencies may enter the **Print** maintenance command (Command **B.2**) on the same day the claim schedule batch is entered and released. As a result, if no fatal errors are detected during the nightly system update process, the claim schedule is available to print the next day.

If an agency does not enter a print date on the same day the claim schedule batch is entered and released or if there are claim schedule transactions on the error file, the claim schedules are displayed on the Claim Schedule Maintenance screen as shown below.



```
9990 B.2: Enter Claim Schedule Maintenance Trans            12-08-2000 08:32 AM

    GLOBAL PRINT (Y/N): N  PRINT DATE: MM DD YYYY
    DEFAULT OUTPUT DEST: P (E=Send eFile to SCO, P=Agency Printer)
Enter under F below: (D=Delete Maint, I=Insert Maint)
F MAINT    CLAIM                           DUP DEST --- S C O ---
  OPERATOR SCHED # BATCH DATE T  NBR  SEQ  REC O/R  ISSUE DATE SH
_ ________ CS00253 12 07 2000 04 123 00000  0   _   __ __ ____ _
_ ________ CS00257 12 07 2000 04 127 00000  0   _   __ __ ____ _
_ ________ CS00258 12 07 2000 04 128 00000  0   _   __ __ ____ _
_ ________ CS00260 12 07 2000 04 130 00000  0   _   __ __ ____ _
_ ________ CS00261 12 07 2000 04 131 00000  0   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
_ ________ _______ __ __ ____ __ ___ _____  _   _   __ __ ____ _
Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd Clear             Main
```

The Claim Schedule Maintenance Transactions screen displays up to 12 lines. Additional records may be displayed by scrolling using the **F8** key.

The following functions described below, a **D** (delete maintenance) and an **I** (insert maintenance), can be entered in the Function column (**F**):

A **D** entered in the Function column is used to delete previously entered information from the Maintenance Operator field. For example, if Hold is entered in the Maintenance Operator column and should not have been, a **D** entered in the Function column before nightly processing would delete the Hold. A **D** entered in the Function column does not delete a claim schedule or a claim schedule transaction. Only previously entered claim schedule maintenance is affected.

An **I** entered in the Function column is used to create a new line with duplicate claim schedule information. The sequence number in the duplicated line displays five zeros. This allows a specific sequence number to be entered in place of the zeros. Using the **I** function allows a specific transaction within the claim schedule to be deleted by entering the appropriate sequence number and entering a Delete in the Maintenance Operator field. For example, a credit memo that causes a negative net to vendor can be deleted using this process.

The following Maintenance Operator values described below, Hold, Release, and Delete, can be entered in the Maintenance Operator column:

A **Hold** entered in the Maintenance Operator column will prevent a claim schedule from printing.

Release will make a claim schedule available for print. If a claim schedule has previously been put on hold, this maintenance operator must be entered before the claim schedule will print.

Delete will remove an entire claim schedule or a transaction within a claim schedule from the Warrant Write File. This means the claim schedule or the transaction within a claim schedule is no longer available for print. **Note**: Deleting transactions from the Warrant Write file does not delete the previously posted expenditure transactions. Therefore, additional action may be required.

When the **Enter** key is pressed, the Claim Schedule File maintenance transactions are edited. Valid transactions are removed from the screen and the message '821-RECORD SUCCESSFULLY ADDED' is displayed at the bottom of the screen if none of the transactions have online errors. If errors are detected on the maintenance transaction screen, the erroneous field is highlighted and the appropriate error message is displayed at the bottom of the screen. These error messages are described in Volume 4, Error Correction.

The following two methods can be used to change a previously entered maintenance transaction:

- ✪ Enter a **Hold**, **Release** or **Delete** directly over the incorrect Maintenance Operator.
- ✪ Enter a **D** in the function field, press **Enter**, and enter the appropriate Maintenance Operator in the Maintenance Operator field. When all of the desired changes have been entered, press the Enter key.

Claim schedule maintenance transactions remain on the Claim Schedule Maintenance Transactions screen until the CALSTARS system is brought down for nightly processing.

Printing Automated Claim Schedules and Remittance Advice Forms

Printing Claim Schedule (Std. 214) face sheets and Remittance Advice (Std. 404) forms at an agency printer is controlled through Command **G.4** or **B.1**, Printer Control Options. The detailed instructions are contained in Volume 6, Chapter II, Report Requesting, Printing and Other Output. See the section titled *Report Printing - Command G.4*. CALSTARS uses a proprietary software package called ROPES (Remote Online Print Executive System) to manage claim schedule and report printing. Claim schedules are classified as "forms", which requires the manual intervention by an operator to set up the printer and initiate the printing process. This precludes accidental printing of these documents on blank report paper stock. Reports and forms in ROPES are grouped into "report queues". The claim schedule data uses the report queue Name *XXYN*RW05 (*XX*=printer ID, *YN*=device and number) and a report Class of **S** (schedule). The steps for printing the claim schedule and remittance advice are:

1. To see if claim schedules are queued and available for print, Enter Printer Option **X,** the appropriate printer ID, Report Class **S**, Report ID **RW05**, and press **Enter**. If claims are available for print, go to Step #2.
2. Set the Printer to "Hold" (press printer button) to prevent other printing. Load and align claim schedule continuous forms in the printer. The printer line length should be set at '**66**' (normal length for reports).
3. (*Optional*) Test the alignment by entering Printer Option **Q**, the appropriate printer ID, Report Class **S**, Report ID **RW05**, and press **Enter**. Press Enter once each time a sample alignment test is desired and a 1-page sample will print.
4. Enter Printer Option **S** when ready to print the actual claim schedules.
5. When completed, check to make sure the alignment is still correct.

   NOTE: If not aligned, realign the paper and use Printer Option **R** (Reset Printing of A Report) to reprint the schedules.

EXHIBIT XI-2
CLAIM SCHEDULE FILE MAINTENANCE SCREEN FUNCTIONS AND FIELDS

ITEM	DESCRIPTION
Global Print	**Change the Global Print indicator to Y (yes) to print claim schedules**. The Global Print indicator is normally set to **N** (No) and must be changed to **Y** each day an agency wants to print claim schedules.
Print Date	**Enter the date for which batch(es) are to be selected for printing**. Used by the Claim Schedule Subsystem to select batches from the Claim Schedule File for use in generating automated claim schedules. Batches with transactions containing a Due Date on or before the Print Selection Date will generate automated claim schedules if there are no errors on any transaction within the batch. (See the W01 Report.)
Default Output Destination	**The Default Output Destination indicator is currently set to P for all agencies**. Option **E** is not available at this time.
Function	**Enter a function.** D=Delete Key a **D** in the Function field to delete maintenance. The **D** function deletes previously entered information from the Maintenance Operator field. It does not delete a claim schedule or a claim schedule transaction. I=Insert Key an **I** in the Function field to create a new line with duplicate claim schedule information. This allows for the entry of a Delete in the Maintenance Operator field for a specific transaction within the claim schedule, such as the deletion of a credit memo that causes a negative net to vendor.
Maintenance Operator	**Enter the claim schedule maintenance operator, as appropriate**. If a batch sequence number of **00000** is entered, the Maintenance Operator applies to the entire batch. The valid Maintenance Operators and their values are: **Manual Hold** (HOLD, H) - Prevent any transaction and/or batch from being available to **Print**. **Release From Manual Hold** (RELEASE, REL, R) - Allow any transaction and/or batch currently on **Hold** to **Print**. **Delete** (DELETE, DEL, D) - Remove any transaction from the Claim Schedule File; e.g., any credit memos causing a negative net to vendor, transactions with Vendor ID errors, etc. It does not affect the corresponding expenditures previously posted.
Claim Schedule Number	**The Claim Schedule Number field is populated with all claim schedule numbers in the Warrant Write Subsystem.** This includes claim schedules that are not available for printing (those with errors such as negative net to vendor, associated errors on the error file, and those on manual hold, as shown on the W01 report). Claim schedules will continue to appear on the Claim Schedule Maintenance Transaction screen until the errors are corrected or the claim schedules are released from the Manual Hold.

EXHIBIT XI-2
CLAIM SCHEDULE FILE MAINTENANCE SCREEN FUNCTIONS AND FIELDS

ITEM	DESCRIPTION
Transaction Identification	The Transaction ID consists of a 18-digit code that uniquely identifies every transaction entered in CALSTARS. As described below, the transaction identification consists of: **Batch Date (8-digit)** - The month, day and year on which the transaction was batched. The batch date is coded on the batch header. **Batch Type (2-digit)** - Assigned to identify the types of transactions in the batch. Batch Types assigned to system generated batches contain two alpha characters. Batch Types assigned by agencies have two numeric digits. **Batch Number (3-digit)** - Assigned from the Batch Control Log by the agency. It distinguishes individual batches with the same batch date and batch type. (Batches are usually assigned sequential batch numbers starting with **001**. Each agency must establish a batch numbering convention.) **Batch Sequence (5-digit)** - Assigned by the system at the time of data entry. It distinguishes the individual transactions in a batch. Each transaction is assigned a Sequence number. Transaction numbering begins with **00001**. The batch header is assigned a sequence of **00000**. **Duplicate Record Indicator (1-digit)** - Assigned by the system to distinguish between transactions entered into the system with the same batch date, batch type, batch number and batch sequence number. This code must be entered as part of the transaction ID.
Destination O/R and SCO Issue Date SH	These fields are not available at this time.

The instructions above can also be used to print remittance advices. However, the Report Class is **R** and the Report ID is **RW06**. The printer line length should be set at '**21**' (for RAs and checks).

NOTE: Reset the line length to '**66**' following a successful printing and reload and align the report paper, as appropriate.

ASSEMBLY AND DELIVERY OF THE CLAIM SCHEDULE TO THE SCO

All documents in a claim schedule must be arranged, compiled and attached in a specific order using the method prescribed by SCO. The *State Administrative Manual* (SAM) Section 8422.2 contains instructions on the order, assembly and delivery of claim schedules.

All claim schedule copies are filed for audit purposes as prescribed by SAM Section 8422.2. Any changes to the batch such as, claim cuts, omissions or additions from/to the original batch should be noted on the Batch Header Sheet(s). These changes should also be cross-referenced inside the claim schedule folder or on the appropriate claim schedule document (face sheet, invoice, etc.) for easy audit trail review.

CLAIM SCHEDULE ERROR CORRECTIONS AND POSTING ISSUES

This section describes situations and conditions that may occur in the claim schedule process.

Coding errors in claim schedule transactions

WARNING: ***Never* use an automated claim schedule TC to make a correction.** Only manual claim schedule transaction codes should be used when making corrections to claim schedules (manual or automated) previously posted in CALSTARS.

Errors caused by using the wrong classification data in a transaction for automated or manual claim schedules that do not impact the face sheet need to be corrected only in CALSTARS. These errors include incorrect Object Detail, Index, Project, or PCA when the disbursing appropriation is the same (e.g., payment is made from the Clearing Account for both incorrect and correct PCAs). Errors caused by using the wrong Vendor ID or expenditure amount need to be corrected in CALSTARS, on the claim schedule face sheet, and on the remittance advice.

The following instructions may be used to correct classification data errors, Vendor ID errors, or expenditure amount errors if the claim schedule **has not been sent** to the SCO:

Use TC 240 R to reverse the transaction(s) with the incorrect classification data, the incorrect Vendor ID, or to reduce the expenditure amount. Use TC 240 to add a new transaction with the correct classification data, the correct Vendor ID, or to increase the expenditure amount. Use the original claim schedule number on the batch header.

Cross-reference the correcting transaction on the original batch for audit trail purposes.

For errors affecting the Vendor ID or amount, manually correct or retype the claim schedule face sheet and RA.

NOTE: If the *disbursing* fund information on the new transaction(s) is different than the remainder of the batch, the transaction should be entered in a new claim schedule.

Errors caused by using the wrong classification data in a transaction for automated or manual claim schedules that impact the claim schedule face sheet (e.g., FFY, and/or PCA when the disbursing appropriation is different) require a correction on SCO records and in CALSTARS if the schedule **has been sent** to the SCO.

The following instructions may be used to correct classification data errors, Vendor ID errors, or expenditure amount errors if the claim schedule **has been sent** to the SCO:

Reverse the erroneous transaction with a TC 242R and use a TC 242 to add a new transaction with the correct coding. These transactions must net to zero.

Cross-reference the correcting transaction on the original batch for audit trail purposes.

Prepare and submit a Transaction Request to SCO to correct their records if the disbursing appropriation (e.g. FFY and/or PCA when the disbursing appropriation is different than the claim schedule face sheet sent to SCO).

If the wrong vendor was paid, notify the vendor, and establish an A/R for the amount paid in error. Reschedule the invoice to pay the correct vendor.

If an incorrect amount was paid to a vendor, notify the vendor, and establish an A/R for the amount paid in error.

NOTE: If the wrong vendor was paid *for a reportable service* and TC 242R and 242 are used, enter a TC R01 to reverse the reportable payment and TC R02 to post the correct vendor. See Volume 1, Chapter XII, Reportable Payments, for other alternatives.

Reportable Payment Adjustments

Reportable payment adjustments *may* be necessary if:

- ✪ An automated office revolving fund claim schedule process contains a reportable payment and the Vendor Number used was **AAAAAAAAAA-00**.
- ✪ An Object Detail, amount and/or Vendor coding error was found in a transaction contained in the claim schedule batch and a correction was made using TC 242R/242.

Use TC R01 and/or R02, as appropriate, or TC 240 and/or 240R to correct/report any reportable payment(s) or adjustments. Refer to Volume 1, Chapter XII, Reportable Payments, for detailed instructions on use of TC R01 and R02 entries and other alternatives.

See a sample of the W07 Report, Exhibit XI-14, shown on page 45. Also see Volume 6, Chapter III, Standard Reports, section *P-Reportable Payments,* for samples of the P01 and P02 reports.

Negative Net To Vendor

A vendor payment cannot be a zero or negative amount. Automated face sheets and RAs will not print when this occurs. The error message 'NEGATIVE NET TO VENDOR' appears on the W01 Report and the TC 360 R is not generated for the credit transaction. A negative net to vendor results from any of the three following situations.

Credit memo amount is equal to or greater than the invoice amount(s) for the same vendor.

The following two options for correction are described below:

1. Increase the expenditures; or
2. Reverse the credit memo.

Option 1. Increase the expenditures

This option is used when an additional invoice for the same vendor is approved for payment for an amount greater than the outstanding credit balance.

1. Use TC 240 or 243 to include another invoice in the claim schedule. Use the original claim schedule number on the batch header. This transaction will generate an additional TC 360 to increase the claim schedule document.

   Note: If the claim schedule was "split" by the system to use 'A, B, etc.', use a TC 253 R (Reverse). The Current Document Number (claim schedule number) must be the same as shown on the D05 Report.

2. Go to the Claim Schedule Maintenance Screen via Command **B.2** and enter an **I** in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the duplicate line will display five zeroes. Replace these zeroes with the sequence number for the TC 471 transaction and enter **Delete** in the Maintenance Operator column. This will delete the credit memo from the Claim Schedule Subsystem.

3. Change the Global Print Indicator to **Y** and enter the Print Date using Command **B.2** to generate the face sheet, the RA(s) and the TC 360. Refer to section *Claim Schedule Maintenance (Command **B.2**)* for further details.

4. Correct or retype the claim schedule face sheet and RA. Cross-reference the correcting transaction on the original batch for audit trail purposes.

5. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the *original claim schedule* batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).

6. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or by viewing the Document Shadow File (Command **H.4**) after the additional TC 360 has posted.

Option 2. Reverse the credit memo

This option is used when the credit memo is greater than the approved invoices. In addition to the following instructions, it may be necessary to reverse the invoices from the claim schedule with TC 240R. The invoices can be rescheduled after additional invoices are received that result in a payment due to the vendor. Refer to the Incorrect Vendor ID or Dollar Amount instructions above for further information.

1. Use TC 470R to reverse the credit memo. Use the original claim schedule number on the batch header.

   Note: If the claim schedule was "split" by the system to use 'A, B, etc.', use a TC 253 R (Reverse). The Current Document Number (claim schedule number) must be the same as shown on the D05 Report.

2. Go to the Claim Schedule Maintenance Screen via Command **B.2** and enter an **I** in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the duplicate line will display five zeroes. Replace these zeroes with the sequence number for the TC 471 transaction and enter **Delete** in the Maintenance Operator column. This will delete the credit memo from the Claim Schedule Subsystem.

3. Change the Global Print Indicator to Y and enter the Print Date using Command **B.2** to generate the face sheet, the RA(s) and the TC 360. Refer to section *Claim Schedule Maintenance (Command **B.2**)* for further details.

4. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the *original claim schedule* batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).

5. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or viewing the Document Shadow File (Command **H.4**).

Credit memo transaction does not immediately follow expenditure transaction.

1. Go to the Claim Schedule Maintenance Screen via Command **B.2** and enter an **I** in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the duplicate line will display five zeroes. Replace these zeroes with the sequence number for the TC 471 transaction and enter **Delete** in the Maintenance Operator column. This will delete the credit memo from the Claim Schedule Subsystem.

2. Change the Global Print Indicator to Y and enter the Print Date using Command **B.2** to generate the face sheet, the RA(s) and the TC 360. Refer to section *Claim Schedule Maintenance (Command **B.2**)* for further details.

3. Correct or retype the claim schedule face sheet and RA.

4. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the *original claim schedule* batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).

5. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or by viewing the Document Shadow File (Command **H.4**).

Credit memo transaction does not use same vendor ID as the expenditure transaction.

1. Use TC 470R to reverse the transaction(s) with incorrect vendor ID and TC 470 to enter the credit memo transactions with the correct vendor ID. Use the original claim schedule number when posting these transactions.

   Note: If the claim schedule was "split" by the system to use 'A, B, etc.', use a TC 253R and TC 253. The Current Document Number (claim schedule number) must be the same as shown on the D05 Report.

2. Go to the Claim Schedule Maintenance Screen via Command **B.2** and enter an **I** in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the

duplicate line will display five zeroes. Replace these zeroes with the sequence number for the TC 471 transaction and enter **Delete** in the Maintenance Operator column. This will delete the credit memo from the Claim Schedule Subsystem.

3. Change the Global Print Indicator to Y and enter the Print Date using Command **B.2** to generate the face sheet, the RA(s) and the TC 360. Refer to section *Claim Schedule Maintenance (Command **B.2**)* for further details.
4. Correct or retype the claim schedule face sheet and RA. Cross-reference the correcting transactions on the original batch for audit trail purposes.
5. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the *original claim schedule* batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).
6. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or by viewing the Document Shadow File (Command **H.4**).

Split Claim Schedules (A, B, C, etc.)

Claim schedule batches that break the rules described in Step 2 of the *Claim Schedule Preparation Steps* section may result in "split" claim schedule postings by CALSTARS. When the system splits a claim schedule, it automatically assigns an 8th digit (i.e. A, B, C, etc.) to the Claims Filed records in the Document File rather than a zero. A split claim schedule may result from any of the following situations.

A claim schedule batch contains transactions with different disbursing appropriation information (i.e. organization, fund, reference, enactment and funding fiscal year).

Note: If the coding entered is correct or the claim schedule contains more than 12 vendors, no action is required in CALSTARS because separate claim schedules are required. If the claim schedule batch contains manual claim schedule transaction codes and the claim schedule has already been submitted to SCO, refer to the *Correcting Completed Claim Schedules* section of this chapter.

If coding errors caused the claim schedule to split, follow the steps below:

1. Reverse the erroneous transaction with TC 253 and re-enter the correct transaction with TC 253R. Use the same Current Document Number (claim schedule number) that is displayed on the D05 Report.
2. Type the new transaction on the face sheet and correct the claim schedule number on the RA.

Note: If TC 232 or TC 243 was used in the original batch and the reference document was correct, no adjustment is necessary to the encumbrances.

Claim schedule batch with multiple scheduled line items

A Claim schedule that does not split (i.e., *not* A, B, C, etc.) but generates *multiple TC 360 Claims Filed postings* with different Document Number Suffixes (i.e., **00**, **01**,**02**, etc.) is appropriate for **separating scheduled line items** within one appropriation account, as follows:

- ✪ Posting GLA 3020-Claims Filed with different Source codes for a revenue account (e.g., 125700, 125800, etc.); or
- ✪ Posting GLA 3020-Claims Filed for project general ledger accounting; i.e., differentiating:
  - Project required GL posting (PC Table GL Posting Level = **1** or **B**); and

Non-project required posting (e.g., no Project Code used in the disbursement transaction or projects with GL Posting Level = **0** or **A**).

Claims In Process (GLA 3021)

A balance in GLA 3021 represents claims entered into CALSTARS but not yet released for print, including claims that have fatal errors on the error file. The balance of GLA 3021, Claims In Process, should always be zero after the TC 360 or TC 360R has posted. Other incorrect balances in GLA 3021 may result if the procedures for correcting claim schedule posting problems are not followed correctly.

As stated earlier in this chapter, an automated claim schedule transaction code should **never** be used to post a claim schedule correction transaction. However, if a transaction code for an automated claim schedule (TC 231R) is used to reverse a claim schedule transaction, the following problems occur:

- ✪ A TC 360R is **not** generated for a TC 231R transaction. This results in a balance in GLA 3021-Claims In Process.
- ✪ The GLA 3020 – Claims Filed balance is overstated.
- ✪ The amounts on the claim schedule face sheet as well as the amount for the corresponding RA are overstated.

Note: A credit to GLA 9000 posts when a TC 231R is used. Only the balances in GLA 3021 and GLA 3020 are incorrect.

To correct the problems listed above, follow the steps below:

1. Go to the Claim Schedule Maintenance Screen via Command **B.2** and enter an **I** in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the

duplicate line will display five zeroes. Replace these zeroes with the sequence number for the TC 231R transaction and enter **Delete** in the Maintenance Operator column. This will delete the 231R transaction from the Claim Schedule Subsystem.

2. If the claim schedule has not yet been printed, Change the Global Print Indicator to Y and enter the Print Date using Command **B.2** to generate the face sheet, the RA(s) and the TC 360. Refer to section *Claim Schedule Maintenance (Command **B.2**)* for further details.
3. Correct or retype the claim schedule face sheet and RA. This is necessary because the face sheet and RA's will print with the original information entered in the automated claim schedule batch prior to the reversal transaction.
4. Enter a manual TC 360R for the amount of the reversal transaction (TC 231R) posted. Use the Document Number shown on the Document Shadow File (Command **H.4**).
5. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or by viewing the Document Shadow File (Command **H.4**).

Transactions for the same vendor are not entered consecutively.

1. Correct or retype the claim schedule face sheet and RA to ensure only one warrant is issued for each vendor listed on the claim schedule.

NOTE: The Automated CD 102 process does not work for split claim schedules. Manual transactions (TC 252s) must be entered in CALSTARS to clear the Claims Filed (GL 3020) document balances.

CLAIM CORRECTIONS MADE BY SCO

Occasionally, a claim schedule sent to the SCO may contain an invoice that cannot be paid due to rules violations or an incorrect amount. When this occurs, the SCO auditor may correct the invoice and issue a warrant in a different amount, or return the unpaid vendor invoice to the agency for correction. The SCO will prepare and send a Notice of Claim Correction (Form AUD 16) in accordance with SAM Section 8422.5. The agency must record the claim correction on the agency's copy of the claim schedule and remittance advice.

This claim correction must be entered in CALSTARS using the appropriate transaction below.

For Expenditure claim cuts:
TC 253 - Reduce Expenditure (Claim Correction)
    Dr 1140 Cash In State Treasury
        Cr 9000 Appro Expend/Operating Expend. & Expenses

OR

For Special Deposit disbursement claim cuts:

TC 255 - Record Claim Correction - Increase Deposits
Dr 3020 Claims Filed
Cr 3500 Liabilities For Deposit

OR

For Revenue refund claim cuts:

TC 256 - Record Claim Correction - Increase Revenue
Dr 1140 Cash In State Treasury
Cr 8000 Revenue/Operating Revenue

OR

For Reimbursement refund cuts:

TC 257 - Record Claim Correction - Increase Reimbursements
Dr 1140 Cash In State Treasury
Cr 8100 Reimbursements

After the claim correction transaction has successfully posted, the system generates a transaction, TC 361 (except for TC 255, Special Deposits) to adjust the Claims Filed document in the Document File, as follows:

TC 361 - Claim Correction - Reduce Claims Filed - System Generated
Dr 3020 Claims Filed
Cr 1140 Cash In State Treasury

Verify the claim schedule document balance agrees with the corrected claim schedule total as indicated on the Notice of Claim Correction (Form AUD 16). The document balance can be verified by ordering a D05 report or by viewing the Document Shadow File (Command **H.4**) after the system generated TC 361 has posted.

THE NOTICE OF CLAIMS FILED CD 102.

After the claim schedule is sent to and successfully processed by the SCO, a Notice of Claims Filed (CD 102) form is sent by the SCO to the agency. Posting this record in CALSTARS is part of the appropriation reconciliation process and therefore must be done on a monthly basis. See the *Reconciliation Of Claim Schedules* section for a description of the claim schedule reconciliation process.

Manual CD 102 posting method - A batch is prepared to manually post the CD102s into CALSTARS. The following transaction is then used to manually post the CD102:

TC 252 - Reduce Claims Filed-Notice of Claims Paid
Dr 3020 Claims Filed
Cr 1140 Cash In State Treasury

A TC 252 posts against each Document File record for the claim schedule. To verify the correct Document Number(s), review the D05, Document Report of Claims Filed, and/or go to Command **H.4** - Document (File Inquiry) and view the record(s) that apply to the claim schedule.

IMPORTANT: If batching rules were broken, more than one claim schedule (i.e., A, B, C, etc.) and Claims Filed transaction, TC 360, may be generated. Also, if "Project General Ledgers" (see the Project Control (PC) Table , Volume 2, Chapter IV, item GL Post Level, code **1** or **B**) are used, separate TC 360 transactions will be generated for each designated project and a separate Document Number Suffix code assigned to each (i.e., **00**, **01**, **02**, etc.). Transactions not using PC table code **1** or **B** and transactions without PC tables are summed into one TC 360.

Automated CD 102 posting method - the CD 102 transactions are automatically generated from the monthly CD 102 electronic file received from the SCO. The Document File TC 360 and TC 361 transactions, by document number, are used for a match with the SCO records.

IMPORTANT: If batching rules were broken, more than one claim schedule (i.e., A, B, C, etc.) and Claims Filed transaction, TC 360, may be generated. Also, if "Project General Ledgers" (see the Project Control Table , Volume 2, Chapter IV, item GL Post Level, code **1** or **B**) are used, separate TC 360 transactions will be generated for each designated project and a separate Document Number Suffix code assigned to each (i.e., **00**, **01**, **02**, etc.). Transactions not using PC table code **1** or **B** and transactions without PC tables are summed into one TC 360.

The CALSTARS Document File record data is included in the generated batch of transactions based on the Organization Code, FFY, Fund, program hierarchy, claim schedule number and amount.

IMPORTANT: Agencies must set the OC Table CD 102 indicator set to **Y t**o use the automated CD 102 posting method. This indicator must be set prior to the SCO transmittal of the electronic file at the beginning of the month. Once the indicator is set to **Y**, future SCO files will automatically be accepted and CD 102 transactions generated.

When a match occurs between the SCO record and the Document File record an automated batch and a transaction record(s) is created. The automated transaction generated is:

TC 362 - Reduce Claims Filed-Notice of Claims Paid - Auto Post
Dr 3020 Claims Filed
Cr 1140 Cash In State Treasury

Each SCO CD 102 record then becomes a CALSTARS record.

When a match does not occur, the transaction record becomes a fatal error. The subsystem will insert Object Detail code **000** into the transaction. This forces the non-matched transaction to the Error File. The transaction may be deleted from the error file and manually posted or the following steps must be taken to clear the error file:

- ✪ Enter an **I** (Insert) in the **S** (Status) column next to the transaction ID to add an additional line. Type Fund Segment in the Data Element No/Name field. Enter the appropriate Appropriation Symbol, Fund, Fund Source, Method, and Fund Detail. If no Fund Detail exists for the transaction, space through the 10th and 11th position.
- ✪ Enter Detail Correction Number **26** in the Data Element No/Name field and a **$** in the Data Element Value column on the Error Correction Screen to delete the Object Detail code **000**.

Two reports are generated from the automated CD 102 process:

- ✪ **CFB084-1 CALSTARS Automated SCO CD 102 Postings (TC 362) Report** - shows *all* SCO CD 102 transactions generated for a specific month, both matched and non-matched, and
- ✪ **CFB084-2 CALSTARS List of CD 102 Non-Matched For FM*nn [month name]* Report** - shows only those SCO CD 102 transactions that did not match record(s) in the Document File GLA 3020 as of the date of the SCO file. Transactions appearing on this report should be investigated to avoid problems during the monthly reconciliation with the SCO.

Both reports are described and samples shown in the *Claim Schedule Reports* section.

RECONCILIATION OF CLAIM SCHEDULES

Use the H04 - Claims In Process and Claims Filed Activity Report to find, reconcile and correct any claim schedule differences. See Volume 6, Chapter III, Standard Reports, section *H-History File*, for a sample H04 report.

A very important part of the claim schedule process is accounting for all claim schedule transactions to ensure that all disbursements are made as intended. The claim schedule process involves three types of transactions:

- ✪ The original expenditure or revenue refund
  Dr. Expenditures or Revenue
      Cr. Claims In Process

- The filing of a claim with State Controller's Office
  Dr. Claims In Process
  Cr. Claims Filed

- The receipt of the CD 102 from the State Controller's Office
  Dr. Claims Filed
  Cr. Cash In State Treasury

In general, the balance in the GLA 3021-Claims In Process account represents claims entered into CALSTARS but not yet sent to the SCO. The balance in the GLA 3020-Claims Filed represents claims sent to the SCO for which no disbursement (CD 102) has been received.

On a daily basis, the claim schedules should be compared to the W01 report for audit purposes. At month end, claim schedule batches on the Batch Control Log should be compared to the claim schedules listed on the D05, Document Report of Claims Filed, (See Volume 6, Chapter II-D). If a discrepancy between the Batch Control Log and the Document Report of Claims Filed exists, it may be due to the following reason(s):

- A reconciling item has not been cleared. For example, a Claim Schedule transaction remains on the Claim Schedule File Maintenance screen due to a negative net to vendor;

- A transaction(s) was deleted from the Claim Schedule File;

- A transaction(s) is on the Error File; and

- A transaction(s) was deleted from the Error File.

Claim schedules that do not appear on the D05, Document Report of Claims Filed, but are listed in the Batch Control Log may have posted in CALSTARS after the 'As Of Date' of the D05 report.

The Claims Filed balance for each schedule on the D05 report should equal zero **after** all CD 102s and adjustments to Claims Filed are correctly posted. If a balance remains, the HG1, General Ledger Analysis Report, and/or the H04, Claims in Process and Filed Activity Report, may be referenced to aid in reconciling transactions posted to either Claims in Process, Claims Filed or Cash in State Treasury.

CLAIM SCHEDULE REPORTS

This section describes all of the claim schedule reports generated by the nightly system update process and the Claim Schedule Subsystem based on batch transaction entry and maintenance, error correction, claim schedule or Warrant Write File maintenance.

Some of these reports need to be reviewed to verify that the claim schedule entry/adjustment transactions are correct and complete.

These reports include:

- Claim Schedules Requiring Action Report (CSBW01-1);
- Summary of Claim Schedules Filed (W03);
- Claim Schedule Preview Report (CSBW08-1);
- Summary of Claim Schedule Transactions Deleted (W1A);
- Claim Schedule Generated Transactions (CFB080-1);
- CALSTARS Claim Schedule File Maintenance Report (CFB810-1);
- Claim Schedule Extract Summary (CFB820-1);
- Automated SCO CD 102 Postings (TC 362) Report (CSB084-1);
- List of CD 102 Non-Matched for FM *nn* [*Month*] Report (CSB084-2)

Each report is described in this section.

Claim Schedules Requiring Action Report (CSBW01-1)

The Claim Schedules Requiring Action Report (CSBW01-1), shown in Exhibit XI-3 on page 34, is produced when an action is required before a claim schedule can be printed. A message stating the cause of the problem is displayed below the total for each claim schedule or to the right of the total amount for each payee. The messages and definitions are as follows:

Associated Transaction On Error File - One or more transactions in the claim schedule is on the Error File preventing the claim schedule batch from generating a Claims Filed transaction (TC 360) or claim cut (TC 361), as appropriate. The transactions displayed on the CSBW01-1 report successfully posted to the CALSTARS master files and the Warrant Write File. However, the remaining transactions in the claim schedule need to be cleared from the error file.

Action: See the Error Correction Activity Report (CFB200-2) and correct the transactions containing fatal errors.

Negative Net To Vendor - For an automated claim schedule, one of the following three situations exist:

- One or more credit memos are included that result in a zero or negative balance payment to a vendor.
- A credit memo does not immediately follow an invoice from the same vendor.

- ✪ The vendor information is not identical between the invoice and the credit memo.

Remember that all of the transactions on the CSBW01-1 report successfully passed the nightly system processing edits without fatal errors and have already posted to the master files. Corrections will require entering *new* transactions to either increase and/or negate existing transactions.

Action: Enter correcting claim schedule transactions. Refer to the *Correcting Claim Schedule Posting Problems* section in this chapter for further .

Manual Hold Set - The agency has entered a **Hold** claim schedule maintenance transaction (Command **B.2**) to restrict a claim schedule batch from **Print** maintenance availability.

Action: A **Release** claim schedule maintenance operator entry is required for printing availability.

(Blank) - Automated claim schedules shown on this page are not available for printing because the Global Print Indicator operator was not changed to a **Y** the previous day (Command **B.2**), the maintenance transaction erred, or the date used was not equal to or greater than the Batch Date and *all* Due Dates (if used) on any transaction in the batch.

Action: Refer to the *Claim Schedule File Maintenance* section on page 12 for further details.

The Claim Schedules Requiring Action Report is ROPED to your agency printer and is located in report queue RWW1. The report can be viewed or printed through Command **G.4**. Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

Summary of Claim Schedules Filed (W03)

The Summary of Claim Schedules Filed Automated and Manual reports, shown in Exhibits XI-4 and XI-5 on pages 35 and 36 respectively, are printed each day claim schedule transactions post to Claims Filed, GL 3020 (TC 360, 360R and 361). The transactions occur when batches are posted without fatal errors (manual) or without fatal errors when claim schedules are available to be printed (automated).

Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

The Summary of Claim Schedules Filed report is ROPED to your agency printer and is located in report queue RWW1. The report can be viewed or printed through Command **G.4**.

Claim Schedule Preview Report (CSBW08-1)

The Claim Schedule Preview Report (CSBW08-1), illustrated in Exhibits XI-6, shown on page 37, is produced if claim schedule batches are posted without fatal errors and the Global Print Indicator on the Claim Schedule Maintenance screen has not been changed to a **Y**. The report is sorted numerically by claim schedule number followed by alpha character claim schedule numbers . The Claim Schedule Preview Report is used to verify the accuracy of claim schedule entries prior to printing of the claim schedules.

The Claim Schedule Preview report is ROPED to your agency printer and is located in report queue RWW1. The report can be viewed or printed through Command **G.4**.

Summary of Claim Schedule Transactions Deleted (W1A)

The Summary of Claim Schedule Transactions Deleted, shown in Exhibit XI-7 on page 38, displays Warrant Write File transactions that were deleted during the previous nightly system processing. The Summary of Claim Schedule Transactions Deleted is produced only if **Delete** claim schedule file maintenance transactions were entered on the prior day to delete transactions from the Claim Schedule File.

The Claim Schedules Filed report is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

Claim Schedule Generated Transactions Report (CFB080-1)

The Claim Schedule Generated Transactions Report (CFB080-1), shown in Exhibit XI-8 on page 39, is produced each time the Claim Schedule Subsystem generates Claims Filed transactions, TCs 360 and/or 361. It displays each transaction and the batch header information for each batch it creates. Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

The Claim Schedule Generated Transactions report is ROPED to your agency printer and is located in report queue RWW1. The report can be viewed or printed through Command **G.4**.

Claim Schedule File Maintenance Activity Report (CFB810-1)

The Claim Schedule File Maintenance Activity Report (CFB810-1), shown in Exhibit XI-9 on page 40, is printed if Claim Schedule File maintenance was done the previous day. All maintenance is listed on the report, regardless of whether errors exist or not. However, maintenance transactions with an error code and message are not processed until they are corrected. The error codes and messages reported on the Claim Schedule File Maintenance Activity Report may be found in Volume 4, Error Correction.

The Claim Schedule File Maintenance Activity report is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

Claim Schedule Extract Summary (CFB820-1)

The Claim Schedule Extract Summary (CFB820-1), shown in Exhibit XI-10 on page 41, is produced by the Claim Schedule Subsystem to show the status of all claim schedule batches. Summary data is provided for both manual and automated claim schedules.

The Claim Schedule Extract Summary Report is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

The Claim Schedule Extract Summary report is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

CALSTARS Automated SCO CD 102 Postings (TC 362) Report (CSB084-1)

The Automated SCO CD 102 Postings Report (CSB084-1), shown in Exhibit XI-11 on page 42, is produced when an interface is created using the monthly electronic CD 102 file from the SCO and the CALSTARS Document File for all Claims Filed (GLA 3020) records. All claims paid by SCO during the previous month are listed by claim schedule number in numerical order. If an SCO claim schedule record does not match a Document File record in CALSTARS, it is flagged ('*') for non-match *data* or ('$') for non-match *amount*.

Note that the optional automated CD 102 posting process is controlled using the current year Organization Control Table, item CD 102, code **Y**-Yes or **N**-No to authorize this automatic monthly process.

The CALSTARS Automated SCO CD 102 Postings report is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

CALSTARS List of CD 102 Non-Matched For *nn* [*Month*] Report (CSB084-2)

The List of CD 102 Non-Matched Report (CSB084-2), shown in Exhibit XI-12 on page 43, is produced when the monthly electronic CD102 file contains records that cannot be matched with Document File (GLA 3020) records. This exception report is only produced if an SCO record does not match a CALSTARS Document File record. . SCO transactions are displayed with the SCO funding information to help agencies identify the differences.

The CALSTARS List of CD 102 Non-Matched Report (CSB084-2) is ROPED to your agency printer and is located in report queue IEUP. The report can be viewed or printed through Command **G.4**.

EXHIBIT XI-3

```
CSBW01-1 9990 (DEST: D1 CTP2) *****             DEPARTMENT OF AIR QUALITY              ************************** ORG NUMBER:   9990
                           CALSTARS         CLAIM SCHEDULES REQUIRING ACTION          REPORT                     ORG PAGE:        1
07/11/2002 (20:00) ********************************************************************************************** RUN PAGE:      357
CLAIM           SUB                                PROGRAM, OBJ
SCHEDULE  FUND  FUND  FS  EY    REF  FFY   CHPTR   OR SOURCE      PURPOSE                               APPROPRIATION AMOUNT
--------  ----  ----  --  ----  ---  ----  ------  -------------  -------------------------           --------------------
          VENDOR NAME                     B-DATE   T  NBR SEQ   D  INV DATE  INVOICE NBR    DUE DATE    INVOICE AMOUNT
          ------------------------------  -------- -- --- ----- -  --------  -------------- -------- -----------------
0152000   0001        D   2001  001  2001  106/01                 CLEARING ACCOUNT                                   75.00
          0001        G   2001  001  2001  106/01  11 11                                                             25.00

          CHERYL N. GRILLS, PH.D.         07-08-02 04 777 00001 0  04-30-02  MAY2002                             25.00
          7101 W. 80TH STREET                                                                           -----------------
          LOS ANGELES,CA 90045                                                    TOTAL FOR PAYEE                25.00

          STATE TREASURER                 07-08-02 04 777 00002 0  06-01-02  12345600000000                     115.00
          915 CAPITOL MALL, ROOM 110                                                                    -----------------
          SACRAMENTO,CA 95814                                                     TOTAL FOR PAYEE               115.00

          PRODUCTION PARALLEL TESTORG     07-08-02 04 777 00003 0  06-15-02  5276                                40.00-
          915 L ST,7TH FLOOR-CALSTARS                                                                   -----------------
          SACRAMENTO,CA 95814                                                     TOTAL FOR PAYEE                40.00- NEGATIVE NET

   ==ERROR==>  0152000 HELD DUE TO:  MANUAL HOLD SET

0160000   0001        D   2001  001  2001  106/01                 CLEARING ACCOUNT                                   50.00
          STATE TREASURER                 07-11-02 04 800 00002 0  05-30-02  MAY 2002                            50.00
          915 CAPITOL MALL, ROOM 110                                                                    -----------------
          SACRAMENTO,CA 95814                                                     TOTAL FOR PAYEE                50.00

   ==ERROR==>  0160000 HELD DUE TO:  ASSOCIATED TRANSACTION ON ERROR FILE
```

EXHIBIT XI-4

```
CSTARW03 9990 (DEST: A1 CTL1) ************************************************ RUN DATE: 09/30/00  RUN TIME: 17.25.00 **** CALSTARS
                                                 DEPARTMENT OF AIR QUALITY (9990)
                                                 SUMMARY OF CLAIM SCHEDULES FILED
                                                        AS OF 09/30/00
***********************************************************************************************************************************
AUTOMATED CLAIMS
----RECONCILIATION----
CLM SCH   VENDOR  TRANS  FISCAL  TRAN                           OBJ                                APPN FUND      FUND
NUMBER     COUNT  COUNT  MONTH   CODE  FFY  CURRENT DOC  INDEX  DTL         AMOUNT        PROJECT  SYM  SRCE FUND DTL  METH SOURCE
-------   ------  -----  ------  ----  ---  -----------  -----  ---  ------------------  --------- ---- ---- ---- ---- ---- ------
D0006850     11     19    03     360   00   D9706850 00                     32,967.68              682   W   0682        2
M0006000      3      6    03     360   99   M9706000 00                     25,262.46              964   Z   0660        5
M0006180      3      4    03     360   98   M9706180 00                      3,938.51              538   B   0751        5
M0006190      7     12    03     360   98   M9706190 00                    107,213.88              961   Z   0660        5
M0006360      5      8    03     360   98   M9706360 00                     17,675.64              554   W   0660  84    1
              1      1    03     360   98   M9706360 01                         50.80              558   W   0660  84    1
M0006370      4     11    03     360   98   M9706370 00                      1,391.31              551   W   0660  84    1
              1      2    03     360   98   M9706370 01                        346.44              558   W   0660  84    1
M0006380      7      9    03     360   98   M9706380 00                      3,717.68              552   W   0660  84    1
79452050      1      1    03     360   98   79452050 00                      1,866.62              099   D   0001        1
79452070      1      1    03     360   98   79452070 00                        438.02              099   D   0001        1
 *TOTAL   AUTOMATED CLAIMS                                                 194,869.04
```

EXHIBIT XI-5

```
CSTARW03 9990 (DEST: A1 CTL1) ************************************************ RUN DATE: 09/30/00  RUN TIME: 17.25.00 **** CALSTARS
                                                 DEPARTMENT OF AIR QUALITY (9990)
                                                 SUMMARY OF CLAIM SCHEDULES FILED
                                                        AS OF 09/30/00
*************************************************************************************************************************************
MANUAL CLAIMS
----RECONCILIATION----
CLM SCH   VENDOR  TRANS  FISCAL  TRAN                                 OBJ                                 APPN FUND      FUND
NUMBER     COUNT  COUNT  MONTH   CODE  FFY  CURRENT DOC  INDEX  DTL        AMOUNT         PROJECT  SYM  SRCE FUND DTL  METH SOURCE
-------   ------  -----  ------  ----  ---  -----------  -----  ---  ------------------  ---------  ---- ---- ---- ---- ---- ------
M0004720       1      2    03    360   98   M9704720 00                          278.07              554   W   0660  84    1
6041191A       1      1    03    360   99   6041191A 00                           48.00-             099   D   0001        1
6041191B       1      1    03    360   99   6041191B 00                           48.00              099   D   0001        1
6041191C       1      1    03    360   98   6041191C 00                           92.00-             099   D   0001        1
6041191D       1      1    03    360   98   6041191D 00                           92.00              099   D   0001        1
 *TOTAL   MANUAL CLAIMS                                                          278.07
 *TOTAL TRANSACTION COUNT FOR ORGANIZATION 9990:        80
 *TOTAL ORGANIZATION: 9990                                                   195,147.11
```

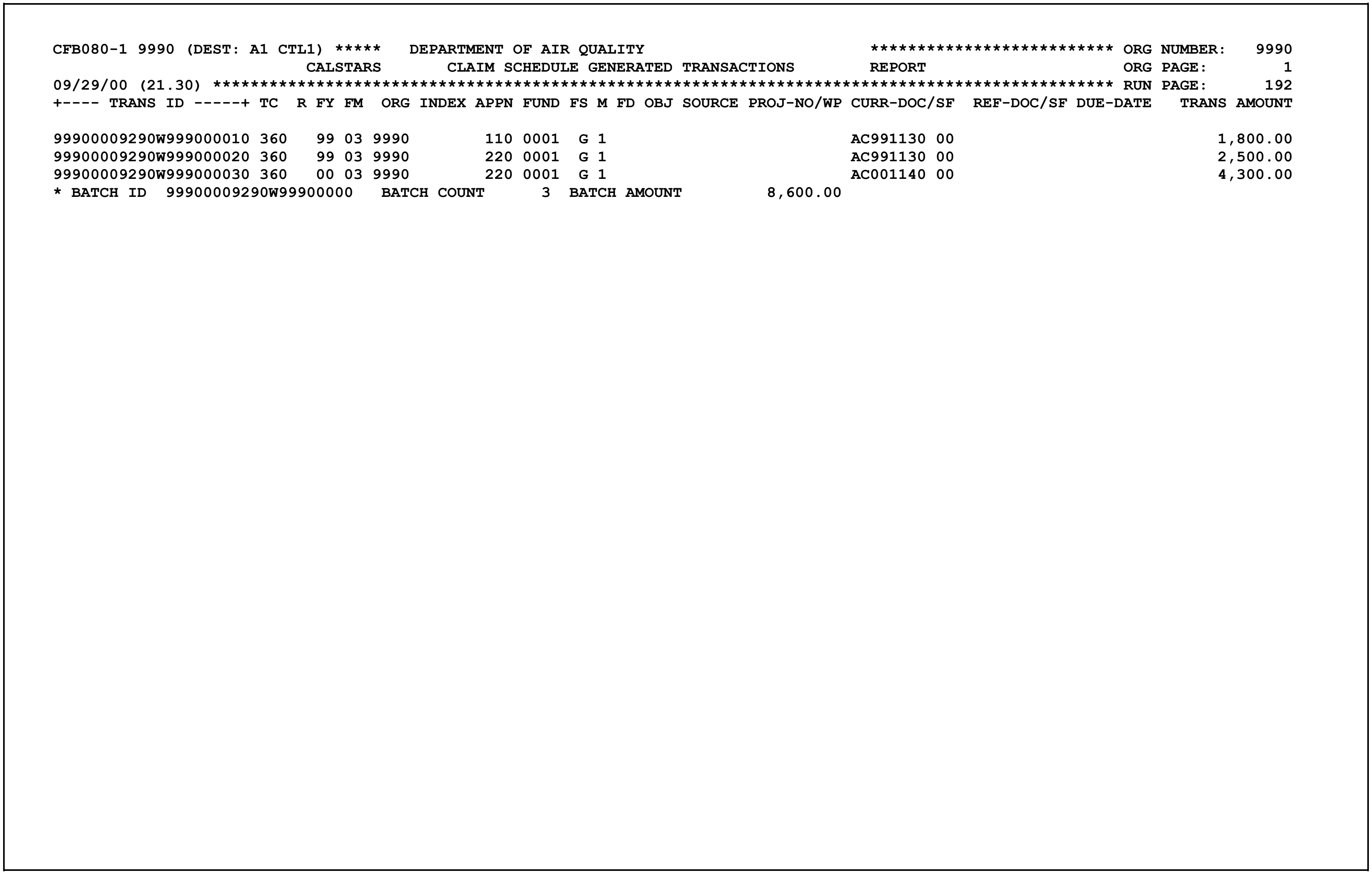
EXHIBIT XI-6

```
CSBW08-1 9990 (DEST: D1 CTP2) *****             DEPARTMENT OF AIR QUALITY              ************************** ORG NUMBER:   9990
                           CALSTARS               CLAIM SCHEDULE PREVIEW               REPORT                     ORG PAGE:        1
07/10/2002 (20:40) ********************************************************************************************** RUN PAGE:      57
CLAIM           SUB                                PROGRAM, OBJ
SCHEDULE  FUND  FUND  FS  EY    REF  FFY   CHPTR   OR SOURCE      PURPOSE                             APPROPRIATION AMOUNT
--------  ----  ----  --  ----  ---  ----  ------  -------------  -------------------------           --------------------
          VENDOR NAME                     B-DATE   T  NBR SEQ   D  INV DATE  INVOICE NBR     DUE DATE    INVOICE AMOUNT
          ------------------------------  -------- -- --- ----- -  --------  --------------  -------- -----------------
0152000   0001        D   2001  001  2001  106/01                 CLEARING ACCOUNT                                  115.00
          0001        G   2001  001  2001  106/01  11 11                                                             25.00
          CHERYL N. GRILLS, PH.D.         07-08-02 04 777 00001 0  04-30-02  MAY2002                              25.00
          7101 W. 80TH STREET                                                                         -----------------
          LOS ANGELES,CA 90045                                                 TOTAL FOR PAYEE                25.00
          STATE TREASURER                 07-08-02 04 777 00002 0  06-01-02  12345600000000                      115.00
          915 CAPITOL MALL, ROOM 110                                                                  -----------------
          SACRAMENTO,CA 95814                                                  TOTAL FOR PAYEE               115.00
                                                                                                      ====================

* TOTAL FOR CLAIM SCHEDULE 0152000                                                                                  140.00
```

EXHIBIT XI-7

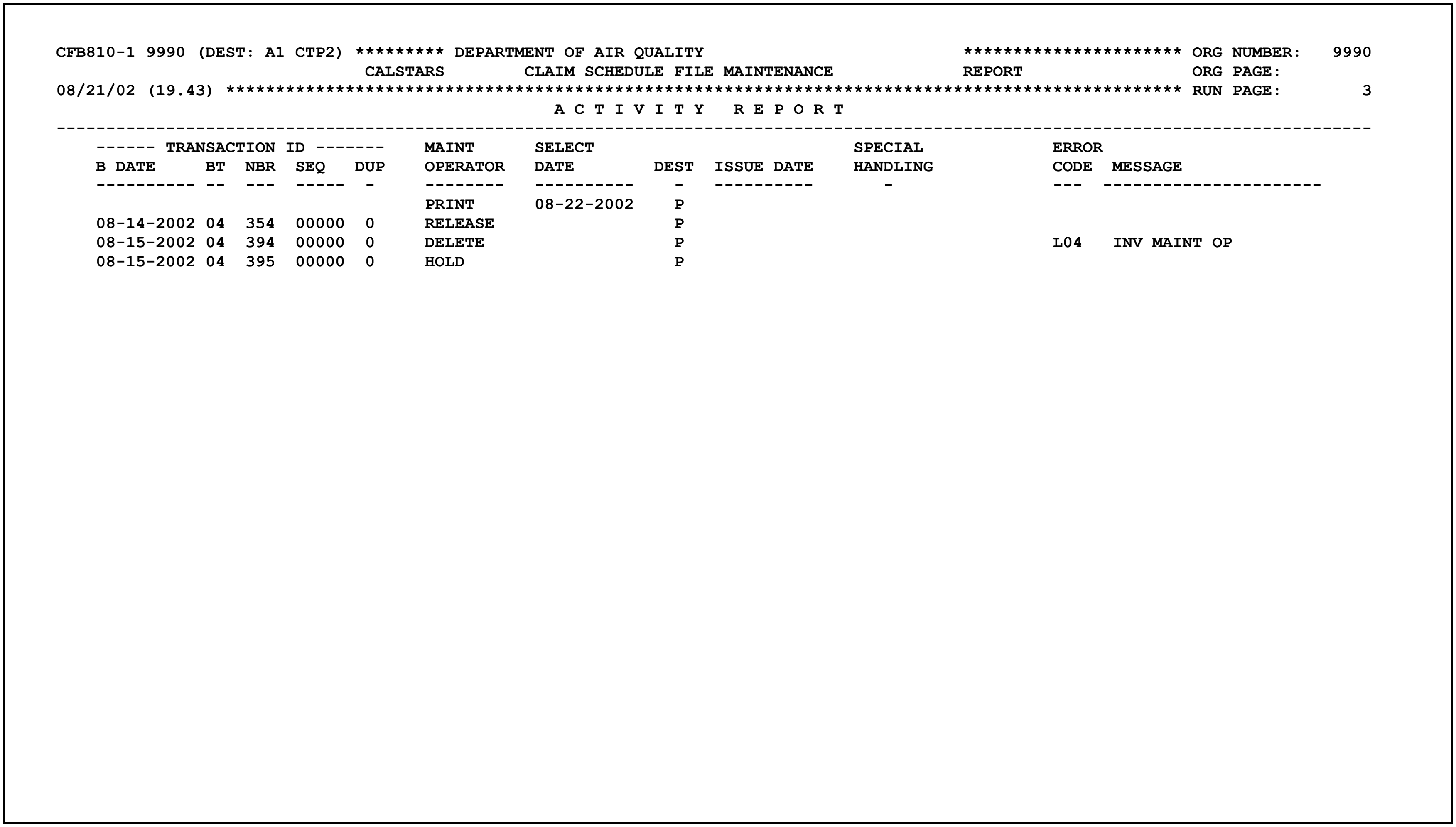
```
CSTARW1A 9990 ************************************************************ RUN DATE: 09/29/00  RUN TIME: 21.30.00 **** CALSTARS
                                         DEPARTMENT OF AIR QUALITY (9990)
                                         SUMMARY OF CLAIM SCHEDULE TRANSACTIONS DELETED
                                                        AS OF 09/29/00
*********************************************************************************************************************** PAGE   1
--------TRANS-ID--------
   DATE   T  NUM SEQ   D NUMBER               VENDOR NAME                       VENDOR ADDRESS - 1                   AMOUNT
 -------- -- --- ----- - -------- ------------------------------------ --------------------------------------  ------------------
 00-09-26 04 372 00009 0 0020180  KEITH AND SALLY SMITH                1234 FIRST AVENUE                                 124.00
                 00010 0 0020180  KEITH AND SALLY SMITH                1234 FIRST AVENUE                                 124.00-
*TOTAL FOR VENDOR:..KEITH AND SALLY SMITH         ............................................................             0.00
*TOTAL FOR CLAIM SCHEDULE:..9720180 ..........................................................................             0.00
*TOTAL FOR BATCH:..00-09-26..04..372..........................................................................             0.00
*TOTAL FOR ORGANIZATION: 9990                                                                                              0.00
```

EXHIBIT XI-8



```
CFB080-1 9990 (DEST: A1 CTL1) *****   DEPARTMENT OF AIR QUALITY                        ************************** ORG NUMBER:   9990
                           CALSTARS       CLAIM SCHEDULE GENERATED TRANSACTIONS        REPORT                     ORG PAGE:        1
09/29/00 (21.30) ************************************************************************************************ RUN PAGE:      192
+---- TRANS ID -----+ TC  R FY FM  ORG INDEX APPN FUND FS M FD OBJ SOURCE PROJ-NO/WP CURR-DOC/SF  REF-DOC/SF DUE-DATE   TRANS AMOUNT

99900009290W999000010 360   99 03 9990        110 0001  G 1                          AC991130 00                            1,800.00
99900009290W999000020 360   99 03 9990        220 0001  G 1                          AC991130 00                            2,500.00
99900009290W999000030 360   00 03 9990        220 0001  G 1                          AC001140 00                            4,300.00
* BATCH ID  99900009290W99900000   BATCH COUNT      3  BATCH AMOUNT         8,600.00
```

EXHIBIT XI-9



```
CFB810-1 9990 (DEST: A1 CTP2) ********* DEPARTMENT OF AIR QUALITY                          ********************** ORG NUMBER:   9990
                               CALSTARS        CLAIM SCHEDULE FILE MAINTENANCE             REPORT                 ORG PAGE:
08/21/02 (19.43) ************************************************************************************************ RUN PAGE:        3
                                                  A C T I V I T Y   R E P O R T
------------------------------------------------------------------------------------------------------------------------------------
    ------ TRANSACTION ID -------    MAINT      SELECT                          SPECIAL             ERROR
    B DATE     BT  NBR  SEQ   DUP    OPERATOR   DATE        DEST  ISSUE DATE    HANDLING            CODE  MESSAGE
    ---------- --  ---  -----  -     --------   ----------    -   ----------       -                ---  ----------------------
                                     PRINT      08-22-2002    P
    08-14-2002 04  354  00000  0     RELEASE                  P
    08-15-2002 04  394  00000  0     DELETE                   P                                     L04   INV MAINT OP
    08-15-2002 04  395  00000  0     HOLD                     P
```

EXHIBIT XI-10

```
CFB820-1 9990 (DEST: A1 CTP2) *****   DEPARTMENT OF AIR QUALITY                         ************************** ORG NUMBER:   9990
                            CALSTARS          CLAIM SCHEDULE EXTRACT SUMMARY             REPORT                     ORG PAGE:       5
 10/05/00 (19.38) ************************************************************************************************* RUN PAGE:      10
                 MANUAL CLAIMS PROCESSED             MANUAL CLAIMS HELD
   TRANSACTION COUNT:                  3                              0
   TRANSACTION TOTAL:             $99.00                           $.00
              AUTOMATED CLAIMS PROCESSED          AUTOMATED CLAIMS HELD
   TRANSACTION COUNT:                  0                              2
   TRANSACTION TOTAL:               $.00                        $199.00
```

EXHIBIT XI-11

```
CSB084-1 9990 (DEST: L1 CTL1) *****              DEPARTMENT OF AIR QUALITY             ************************** ORG NUMBER:   9990
                           CALSTARS        AUTOMATED SCO CD102 POSTINGS (TC 362)       REPORT                     ORG PAGE:        7
09/30/2000 (06:01) ********************************************************************************************** RUN PAGE:      291
--------------RECONCILIATION-------------- FM: 04 OCTOBER      BATCH DATE: 20000930   BATCH TYPE: WW
  CLM SCH     BEG      END    WARRANT                          OBJ                   PROJECT/       F      FD            --BATCH---
S NUMBER     WARR#    WARR#   ISS DATE FFY   REF DOC    INDEX  DTL     AMOUNT           WP     AS   S FUND FD M SOURCE   NBR   SEQ
- --------  -------- -------- -------- --  -----------  ----   --- ----------------- --------- ---  - ---- -- - ------   ---  -----
  00276310  06748409 06748409 20001001 00  00276310 06                         42.53 000247 98 500  D 0001    1          001  00224
  00276310  06748409 06748409 20001001 00  00276310 07                         41.50 000259 95 500  D 0001    1          001  00225
  00276310  06748409 06748409 20001001 98  00276310 08                         83.33 000290 98 500  D 0001    1          001  00226
$ 00276320  06772598 06772603 20001006 00  00276320 07         000          4,763.80 000153 99 500  D 0001    1          001  00227
  00276330  06756919 06756921 20001005 98  00276330 00                        490.00 000151 98 500  D 0001    1          001  00228
  00276330  06756919 06756921 20001005 00  00276330 01                         24.40 000246 98 500  D 0001    1          001  00229
  00276330  06756919 06756921 20001005 98  00276330 02                      3,464.00 000259 95 500  D 0001    1          001  00230
  00276340  06825033 06825038 20001018 99  00276340 00                      2,365.57           500  D 0001    1          001  00231
  00276380  06873517 06873518 20001026 00  00276380 02                        740.00 000279 98 500  D 0001    1          001  00250
  00276390  06871167 06871167 20001025 99  00276390 00                      1,197.94           500  D 0001    1          001  00251
  00276390  06871167 06871167 20001025 99  00276390 01                         14.90 000023 99 500  D 0001    1          001  00252
  00276390  06871167 06871167 20001025 00  00276390 02                         24.20 000070 98 500  D 0001    1          001  00253
  00276390  06871167 06871167 20001025 99  00276390 03                          4.32 000153 99 500  D 0001    1          001  00254
  00276400  06898193 06898193 20001028 99  00276400 00                        405.00           500  D 0001    1          001  00255
  00277940  06755240 06755249 20001004 98  00277940 00                      2,632.41           500  D 0001    1          001  00256
  00277940  06755240 06755249 20001004 98  00277940 01                        509.30 000070 98 500  D 0001    1          001  00257
  00277940  06755240 06755249 20001004 98  00277940 02                        288.25 000259 95 500  D 0001    1          001  00258
  00277970  06749166 06749173 20001001 00  00277970 00                      5,903.85           500  D 0001    1          001  00259
  00277970  06749166 06749173 20001001 98  00277970 01                         36.00 000023 98 500  D 0001    1          001  00260
* 64833X    67955908 67955908 20001004 96  64833X00 00         000          2,488.00                  0890               001  00896
* 64834X    67955909 67955909 20001004 00  64834X00 00         000            561.24                  0890               001  00897
* 64835X    67955910 67955920 20001004 98  64835X00 00         000          5,298.00                  0890               001  00898
* 64835X    67955910 67955920 20001004 98  64835X00 00         000            860.96                  0890               001  00899
* 64835X    67955910 67955920 20001004 98  64835X00 00         000         85,625.65                  0890               001  00900
* 64836X    67955921 67955945 20001004 99  64836X00 00         000          4,980.36                  0890               001  00901
* 64836X    67955921 67955945 20001004 00  64836X00 00         000        128,535.13                  0890               001  00902
* 64836X    67955921 67955945 20001004 99  64836X00 00         000          6,509.00                  0890               001  00903
* 64837     67986536 67986536 20001015 00  64837000 00         000          2,231.00                  0890               001  00904
* 64838     67986537 67986860 20001015 99  64838000 00         000        721,052.00                  0890               001  00905
* 64838     67986537 67986860 20001015 99  64838000 00         000         84,255.71                  0890               001  00906
* 64838     67986537 67986860 20001015 00  64838000 00         000      7,416,345.67                  0890               001  00907
* 71087X    67956428 67956451 20001005 73  71087X00 00         000         43,991.01                  0342               001  00908
* 71095     67985564 67985567 20001013 73  71095000 00         000            161.76                  0342               001  00909
* 71097     68006503 68006751 20001018 73  71097000 00         000      1,190,052.94                  0342               001  00910
* 71101     68041639 68041933 20001027 73  71101000 00         000        893,435.30                  0342               001  00911
* 71102     68021139 68021247 20001021 73  71102000 00         000        117,288.17                  0342               001  00912
* 95103     67985134 67985563 20001013 00  95103000 00         000        531,088.47                  0001               001  00913
TOTAL AUTOMATED CD102S      :                              2,654,621,973.05
TOTAL NUMBER OF NON-MATCHES :         86
TOTAL NUMBER OF MATCHES     :        827
TOTAL NUMBER OF TRANSACTIONS:        913
```

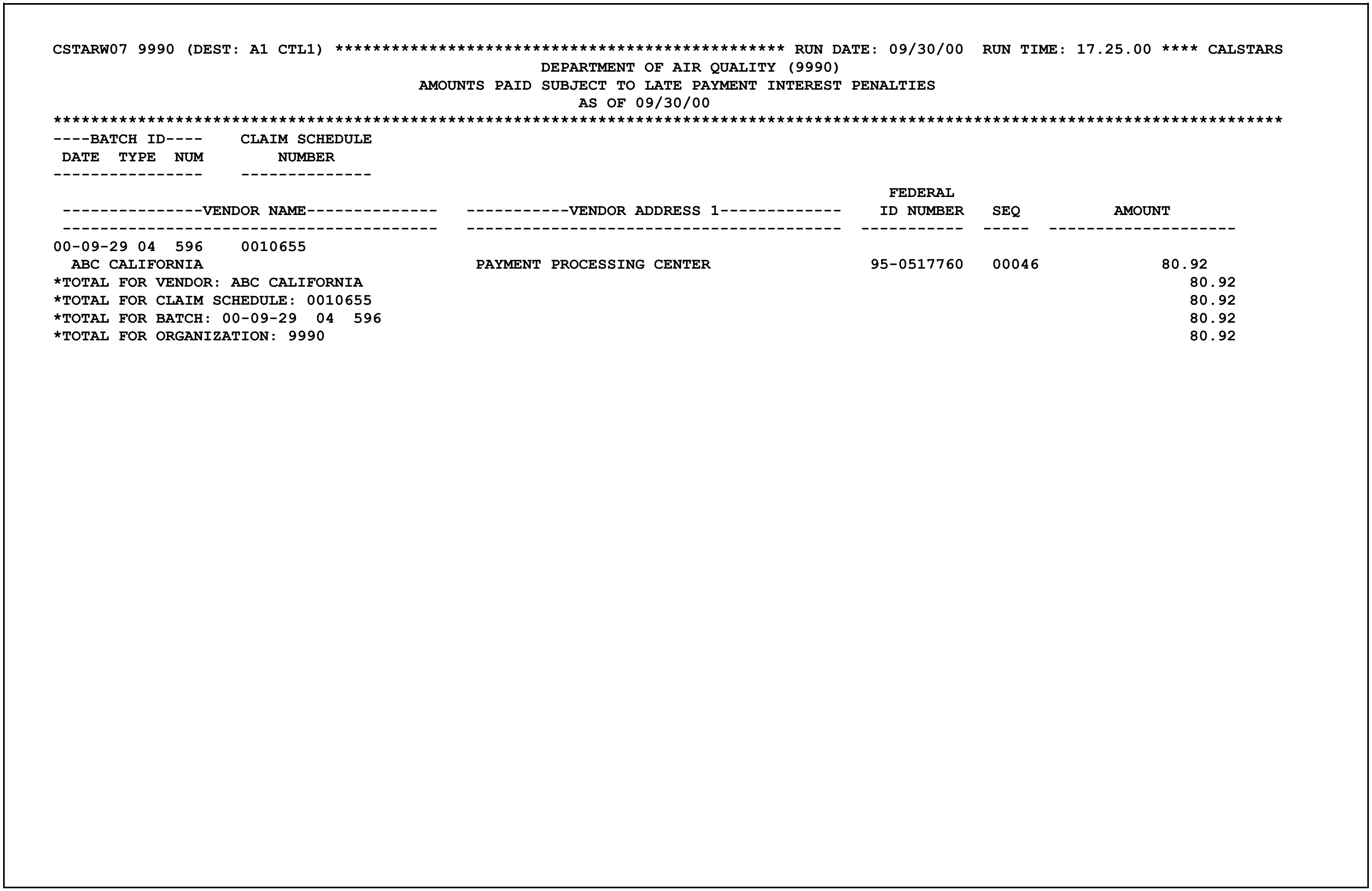
EXHIBIT XI-12

```
CSB084-2 9990 (DEST: L1 CTL1) *****             DEPARTMENT OF AIR QUALITY              ************************** ORG NUMBER:   9990
                           CALSTARS     LIST OF CD102 NON-MATCHED FOR FM 03 SEPTEMBER  REPORT                     ORG PAGE:        2
09/30/2000 (06:01) ********************************************************************************************** RUN PAGE:       66
 ST   CLM SCHED NBR  FUND/SUBFUND  FFY   REF   FED CAT NBR   CAT   PROG   ELEM   COMP   TASK    ACCT CODE             AMOUNT
 --   -------------  ------------  ----  ---   -----------   ---   ----   ----   ----   ----   ------------    ------------------
 *      MA92317A       0001 000    1997  295                        98     01     130    689                             20,969.00
 *      MA92318A       0001 000    1997  295                        98     01     049    802                            129,764.00
 *      MA92319A       0001 000    1997  295                        98     01     130    689                             21,483.00
 $$     0009535        0001 000    2000  001                        99                                                   60,529.21
 $$     0027632        0001 000    2000  001                        99                                                    4,763.80
 $$     0028866        0001 000    2000  001                        99                                                    8,027.49
 *      64622X         0890 000    1998  201                        30     20     010                                     2,038.42
 *      64622X         0890 000    1998  201                        30     20     010                                   872,638.37
 *      64622X         0890 000    1998  201                        30     20     010                                   391,303.78
 *      64623X         0890 000    2000  201                        30     20     010                                 1,097,417.48
 *      64623X         0890 000    2000  201                        30     20     010                                    32,221.44
 *      64623X         0890 000    2000  201                        30     20     010                                 7,452,886.53
 *      64623X         0890 000    2000  201                        30     20     010                                 2,197,410.11
 *      64624          0890 000    1998  201                        30     20     010                                   530,697.58
 *      64624          0890 000    1998  201                        30     20     010                                 1,519,465.26
 *      64624          0890 000    1998  201                        30     20     010                                   185,437.96
 *      64625          0890 000    2000  201                        30     20     010                                 2,705,037.44
 *      64625          0890 000    2000  201                        30     20     010                                   420,117.35
 *      64625          0890 000    2000  201                        30     20     010                                     7,781.04
 *      64625          0890 000    2000  201                        30     20     010                                   865,824.78
 *      64833X         0890 000    1996  201                        30     20     010                                     2,488.00
 *      64834X         0890 000    1998  201                        30     20     010                                       561.24
 *      64835X         0890 000    1998  201                        30     20     010                                     5,298.00
 *      64835X         0890 000    1998  201                        30     20     010                                       860.96
 *      64835X         0890 000    1998  201                        30     20     010                                    85,625.65
 *      64836X         0890 000    2000  201                        30     20     010                                     4,980.36
 *      64836X         0890 000    2000  201                        30     20     010                                   128,535.13
 *      64836X         0890 000    2000  201                        30     20     010                                     6,509.00
 *      64837          0890 000    1998  201                        30     20     010                                     2,231.00
 *      64838          0890 000    2000  201                        30     20     010                                   721,052.00
 *      64838          0890 000    2000  201                        30     20     010                                    84,255.71
 *      64838          0890 000    2000  201                        30     20     010                                 7,416,345.67
 *      71087X         0342 000    1973  602                 11                                                          43,991.01
 *      71095          0342 000    1973  602                 11                                                             161.76
 *      71097          0342 000    1973  602                 11                                                       1,190,052.94
 *      71101          0342 000    1973  602                 11                                                         893,435.30
 *      71102          0342 000    1973  602                 11                                                         117,288.17
 *      95103          0001 000    2000  202                        30     20     010                                   531,088.47
TOTAL AUTOMATED CD102S      :                                                                                    1,559,594,134.04
TOTAL NUMBER OF NON-MATCHES :         86
```

EXHIBIT XI-13

```
CSTARW04 9990 (DEST: A1 CTL1) ******************************************** RUN DATE: 09/30/00  RUN TIME: 17.25.00 **** CALSTARS
                                               DEPARTMENT OF AIR QUALITY (9990)
                                                 AMOUNTS PAID SUBJECT TO USE TAX
                                                        AS OF 09/30/00
***********************************************************************************************************************************
----BATCH ID----    CLAIM SCHEDULE
 DATE  TYPE  NUM        NUMBER
----------------    --------------
                                                                                        FEDERAL
 ---------------VENDOR NAME--------------   -----------VENDOR ADDRESS 1-------------   ID NUMBER    SEQ        AMOUNT
 ----------------------------------------   ----------------------------------------  -----------  -----  -----------------
00-09-30 04  100    6120685
  THE FISHMEN INC                            222 NORTH 3RD ST                          41-0885550  00002             832.21
*TOTAL FOR VENDOR: THE FISHMEN INC                                                                                   832.21
*TOTAL FOR CLAIM SCHEDULE: 6120685                                                                                   832.21
*TOTAL FOR BATCH: 00-09-30  04  100                                                                                  832.21
*TOTAL FOR ORGANIZATION: 9990                                                                                        832.21
```

EXHIBIT XI-14



```
CSTARW07 9990 (DEST: A1 CTL1) ************************************************ RUN DATE: 09/30/00  RUN TIME: 17.25.00 **** CALSTARS
                                                    DEPARTMENT OF AIR QUALITY (9990)
                                       AMOUNTS PAID SUBJECT TO LATE PAYMENT INTEREST PENALTIES
                                                        AS OF 09/30/00
***********************************************************************************************************************************
----BATCH ID----    CLAIM SCHEDULE
 DATE  TYPE  NUM        NUMBER
----------------    --------------
                                                                                         FEDERAL
 ---------------VENDOR NAME--------------   -----------VENDOR ADDRESS 1-------------    ID NUMBER   SEQ          AMOUNT
 ----------------------------------------   ----------------------------------------  -----------  -----  --------------------
00-09-29 04  596    0010655
  ABC CALIFORNIA                             PAYMENT PROCESSING CENTER                 95-0517760   00046             80.92
*TOTAL FOR VENDOR: ABC CALIFORNIA                                                                                        80.92
*TOTAL FOR CLAIM SCHEDULE: 0010655                                                                                       80.92
*TOTAL FOR BATCH: 00-09-29  04  596                                                                                      80.92
*TOTAL FOR ORGANIZATION: 9990                                                                                            80.92
```

CLAIM SCHEDULE AND REMITTANCE ADVICE CODING REQUIREMENTS

Claim schedule coding requirements may vary depending on the type of appropriation, or special SCO account and whether the claim schedule is for disbursing vendor payments (taxable or non-taxable), reimbursing the revolving fund or refunding monies. The information shown in this section is general and may not describe all circumstances. Contact the SCO, Division of Disbursements and/or the CALSTARS Hotline if further information is needed.

NOTE: Automated claim schedules and Remittance Advices are printed on special forms. For this reason, they cannot be printed overnight with the other CALSTARS reports. Instead, they must be printed when an operator is present to load and align the special forms in the printer. Commands for printing of claim schedules and Remittance Advices are described in Step **5**. Also, see Volume 6, Chapter 2, Report Requesting, Printing and Other Output, for instructions on using ROPES commands.

The claim schedule and remittance advice forms are described below:

Claim Schedule (Std. 218)
Automated Claim Schedules, Exhibit XI-15, shown on page 50, are printed when a Print Date is entered through claim schedule file maintenance to the previous night's run of the claim schedule subsystem. If none of the guidelines listed in the *Claim Schedule Preparations Steps* section are violated, one claim schedule is printed for each batch of claim schedule accounting transactions. If any of the guidelines for batching is violated, CALSTARS may generate multiple claim schedules. These multiple claim schedules contain the original 7-digit Claim Schedule Number assigned by the batch header. An 8th alpha character is assigned by the Claim Schedule Subsystem and appears with the claim schedule number on all Claim Schedule Subsystem generated transactions and reports except the Claim Schedules Requiring Action Report (W01) and the Summary of Claim Schedule Transactions Deleted (W1A). The 8th character is assigned (if needed) by the subsystem when the claim schedule is selected for printing.

The claim schedule consists of five sections. The Claim Schedule Subsystem prints the required SCO information in the field names listed below.

Payable from section - Located at the top of the claim schedule. This section contains the fund, subfund, fund name, agency number and agency name.

Appropriation section - Located near the top of the claim schedule. This section contains the year of the statute, method, reference item, sequence, funding fiscal year, chapter, statutes and purpose.

Accounting distribution section - Located below the appropriation section. This section contains information used by the SCO to account for payments. This information includes the Federal catalog number, SCO project number, category, program, element, component, task, general ledger account number, receipt source or object, fund source, amount and description. This section of the claim schedule contains up to ten lines of accounting distribution data. Each time one of the values in an accounting distribution changes, a new line of accounting distribution data is shown with the applicable dollar amount until the accounting distributions for all payments have been printed. The total dollar amount(s) listed in this section equals the total amount of the claim schedule.

NOTE: The use of more than one line on manual claim schedules will create multiple SCO transactions making it more difficult to reconcile using the automated CD 102 process and cause posting errors.

Claimant section - Located in the middle of the claim schedule. This section contains information used by the SCO to print warrants. This information includes the claimant (vendor's) name and the amount of the payment. In addition, the Current Document Number from the accounting transaction is listed in the column headed "P.O. NO. or C". If there is more than one accounting transaction for a given payment line on the claim schedule, the Current Document Number from the first accounting transaction in the group is used. The Total of all the payments on the schedule is printed at the bottom of the claimant section.

Miscellaneous information - Located in the column on the right side of the form. This section contains the schedule number (including the 8th alpha character, if needed), the number of and dollar amount of reportable payments and the total amount subject to use tax, if any.

Remittance Advice (Std. 404)

The Remittance Advice (Std. 404C) accompanies each warrant produced by the SCO. It is inserted in the front of a window envelope to display the vendor's mailing information. It may also include an Invoice Number if that information was entered into the disbursement transaction. The Remittance Advice (Std. 404C) is illustrated in Exhibit XI-16, shown on page 51.

NOTE: Automated remittance advice forms are printed in the same order as the automated claim schedules. When an automated claim schedule has more than one automated remittance advice, the remittance advice forms are printed in the same order that the associated transactions appear on the claim schedule. The result is transactions on the automated claim schedule and the remittance advice are in the same order as the accounting transactions and the source documents. This helps to speed the review process.

The claim schedule subsystem prepares a multiple page remittance advice for claim schedule payment lines that represents 7 or more transactions summarized by document date and vendor invoice number. The first page contains the first 6 transactions; the second page contains the 7th through 12th transactions and so forth, up to a 10-page remittance advice. The dollar total of the transactions on the remittance advice appears on the last page.

The following information is printed on the automated remittance advice by the Claim Schedule Subsystem.

Vendor-identification number - The 10-digit Vendor Number and 2-digit Vendor Suffix from the Vendor Edit Table. If a vendor's name and address are entered on the accounting transaction instead of a vendor number, then a vendor number does not appear on the automated remittance advice.

Page number - The page number of the remittance advice. As described previously, a multiple page remittance advice is printed when all of the accounting transactions, summarized by document date and vendor invoice number, exceeds six lines and cannot fit on a single page.

Department name, address, city, state and zip code - The agency name, first line of address, city, state and zip code as contained in the Vendor Edit Table for Vendor Number **AAAAAAAAAA-00**. Agencies must have this Vendor Edit Table record established in CALSTARS for their name and address to appear on the automated remittance advice. The Contact Phone Number must be in the agency's VE Table record **AAAAAAAAAA-00**. It will appear on the bottom of all remittance advices.

Claim Schedule Number - The 7-position claim schedule number assigned on the Batch Header Sheet and the one position zero or alpha claim schedule number suffix (if any) assigned by the claim schedule subsystem.

Vendor name and address - The vendor name, address line-1, address line-2, address line-3, vendor city, vendor state and vendor zip code as contained in the Vendor Edit Table or as entered on the accounting transaction.

Federal Tax ID or SSN - The vendor's Federal tax identification number or social security number.

RP Type - The reportable payment code from the disbursement transactions, as applicable.

Total Reported to IRS - The total dollar amount of reportable payments on the Remittance Advice.

Invoice date, number, amount and message - The document date, vendor invoice number and dollar amount of the accounting transaction(s). (Accounting transactions are summarized on the automated remittance advice by document date and vendor invoice number.) The document date, vendor's invoice number and amount of all the consecutive transactions on the claim schedule are printed on a remittance advice for each vendor. Transactions appear on both the automated claim schedule and remittance advice in the same order as they are entered in the batch.

Reportable Payments Indicator (RPI) - The 1-digit Reportable Payments Indicator (as defined in the SAM Section 8422.19) is printed on the extreme right side of the automated remittance advice next to the total reportable payment dollar amount. See Chapter 11, Reportable Payments, for the codes and descriptions.

Total - The total payment amount is printed after the last line of invoice date, number and amount.

EXHIBIT XI-15

STATE OF CALIFORNIA
CLAIM SCHEDULE
STD. 218 (Continuous) REV. 3-91

(DO NOT WRITE IN THIS SPACE)

PAYABLE FROM	FUND	SUB	FUND NAME
	AGENCY NO.		AGENCY NAME

APPROPRI-ATION	YR. OF STAT.	METH	REFERENCE/ITEM	SEQ	FFY	CHAPTER	STATUTES
	PURPOSE						

FED. CATALOG NUMBER	SCO PROJ.	CATEGORY	PGM.	ELE.	COMP.	TASK	GENERAL LEDGER	RECEIPT		F/S	AMOUNT	DESCRIPTION
									OBJECT			

SCHEDULE NUMBER	
AUDIT CODE	SCH. TYPE
PRINT WARRANT DATE	
ISSUE WARR. DATE (REQUEST.)	

LINE. NO.	P.O. NO OR "C"	CLAIMANT	AMOUNT

(✔)

DATE ISSUED (ACTUAL)

CONTROLLER'S WARRANT NUMBER

SIGN.	CALC.
PURCH.	CONTR.

TOTAL OF SCHEDULE

CORRECTIONS ENTERED

I hereby certify under penalty of perjury as follows:

"That I am a duly appointed, qualified and acting officer of the herein named state agency, department, board, commission, office, or institution; that the within claim is in all respects true, correct, and in accordance with law; that the services mentioned herein were actually rendered and supplies delivered to the state agency in accordance with the contract and law; that authorizations for purchases have been duly obtained wherever required and that amount claimed and articles delivered comply therewith; that the amounts of any refunds to claimants indicated herein were received from such claimants by the herein named agency in excess of that legally due it under the law, or are otherwise lawfully due such claimants; that all of the expenditures herein set forth are in accordance with the current budget allotments and provisions as approved by the Budget Division of the State Department of Finance, and that none of the expenditures are in excess thereof; that there has been full compliance with all provisions or restrictions in the budget act or any other appropriation relating to expenditures herein; that the claimants named herein are each entitled to the amount specified opposite their respective names and actually have been paid or will be paid as allow when warrant is received form the State Controller; that I have not violated any of the provisions of Sections 1090 to 1096, inclusive, of the Government Code, in incurring the item of expense mentioned in the attached claim, or in any other way; that any disaster service worker for whom compensation or reimbursement for expenses incurred is claimed herein has, if required by law, taken, subscribed, and filed the oath set forth in Section 1303 of the Government Code."

AUDITED	APPR. PAY
F/A BAL. OK	WARR. OK

REPORTABLE PAYMENTS PER S.A.M. 8422.19

NUMBER

AMOUNT

$

SIGNED	TITLE	DATE
APPROVED (IF REQUIRED)		CONTACT TELEPHONE (OPTIONAL)

TOTAL SUBJECT TO USE TAX

EXHIBIT XI-16

REMITTANCE ADVICE

STATE OF CALIFORNIA

STD. 404C (REV. 4-95)

THE ENCLOSED WARRANT IS IN PAYMENT OF THE INVOICES SHOWN BELOW

DEPARTMENT NAME

ORG. CODE

INVOICE DATE INVOICE NUMBER INVOICE AMOUNT RPI

DEPARTMENT ADDRESS

CLAIM SCHED. NO.

VENDOR

FEDERAL TAX ID NO. OR SSAN

RP TYPE

TAX YR

TOTAL REPORTED TO IRS

TOTAL PAYMENT

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